

*State of New Jersey*  
*Department of Education*



REQUEST FOR PROPOSALS  
FOR THE DEVELOPMENT OF A  
**TEACHER CERTIFICATION  
INFORMATION SYSTEM**

for  
The Office of Licensure and Credentials

October 2002

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## **1.0 INFORMATION FOR BIDDERS**

### **1.1 PURPOSE AND INTENT**

This Request For Proposal (RFP) is issued by the Purchase Bureau, Division of Purchase and Property, Department of the Treasury, on behalf of the State of New Jersey. The purpose of this RFP is to solicit proposals from qualified bidders for the development of a Teacher Certification System, which shall be used to track and manage teacher certification applications in the State of New Jersey and other functions performed by the Teacher Certification Office.

The intent of this RFP is to award a contract to that responsible bidder whose bid, conforming to this invitation for bids, is most advantageous to the State, price and other factors considered.

### **1.2 BACKGROUND**

The Office of Licensure and Credentials is an agency within the New Jersey Department of Education. The Office seeks a web-based Teacher Certification Information System to support and streamline its business processes, process applications and fees, provide guidance to applicants and pre-screen candidates, perform document management, facilitate process flows, and integrate the functions of the existing computer systems into a single relational database management system.

The new system must minimize data entry by Office personnel by enabling applicants to apply for certification and check status over the Web, and through the use of imaging.

### **1.3 KEY EVENTS**

#### **1.3.1 QUESTIONS AND INQUIRIES**

It is the policy of the Purchase Bureau to accept questions and inquiries from all potential bidders receiving this RFP.

Written questions must be mailed or faxed to the Purchase Bureau to the attention of the assigned Purchase Bureau buyer at the following address:

Purchase Bureau  
Division of Purchase and Property  
State of New Jersey  
PO BOX 230  
Trenton, New Jersey 08625-0230  
Attention: Karen Drake

Fax Number:  
(609) 292-5170  
Phone Number:  
(609)292-3687

A copy of all written questions must be faxed to the Using Agency as indicated below:

New Jersey Department of Education  
100 Riverview Plaza  
2<sup>nd</sup> Floor  
Trenton, NJ 08625

Attention: Jack Longworth  
Fax Number: (609)633-9865

#### **1.3.1.1 CUT-OFF DATE FOR QUESTIONS AND INQUIRIES**

A Mandatory Pre-Bid Conference has been scheduled for this procurement, therefore, the cut-off date for submission of questions will be the date of the Mandatory Pre-Bid Conference. While all questions will be entertained at the Mandatory Pre-Bid Conference, it is strongly urged that questions be submitted in writing prior to the Mandatory Pre-Bid Conference. Written questions must be delivered to the Purchase Bureau buyer. It is requested that bidders having long, complex or multiple part questions submit them in writing as far in advance of the Mandatory Pre-Bid Conference as possible. This request is made so that answers can be prepared by the State by the time of the Mandatory Pre-Bid Conference.

#### **1.3.1.2 QUESTION PROTOCOL**

Questions must be submitted in writing to the attention of the assigned Purchase Bureau buyer. Written questions should be directly tied to the RFP by the writer. Questions shall be asked in consecutive order, from beginning to end, following the organization of the RFP. Each question should begin by referencing the RFP page number and section number to which it relates.

Short procedural inquiries may be accepted by telephone by the Purchase Bureau buyer, however, oral explanations or instructions given over the telephone shall not be binding upon the State. Bidders shall not contact the Using Agency directly, in person, or by telephone, concerning this RFP.

#### **1.3.2 MANDATORY SITE VISIT**

Not applicable to this procurement.

#### **1.3.3 MANDATORY PRE-BID CONFERENCE**

A Mandatory Pre-Bid Conference has been scheduled for this procurement. The date, time and location are provided as follows:

CAUTION: Bids will be automatically rejected from any bidder that was not represented or failing to properly register at the Mandatory Pre-Bid Conference.

The purpose of the Mandatory Pre-Bid Conference is to provide a structured and formal opportunity for the State to accept questions from bidders regarding this RFP.

Any revisions to the RFP resulting from the Mandatory Pre-Bid Conference will be formalized and distributed to attendees as written addendum to the RFP. Answers to deferred questions will also be distributed to attendees as written addendum to this RFP.

#### **1.3.4 DOCUMENT REVIEW ROOM**

Not applicable to this RFP.

#### **1.4 ADDITIONAL INFORMATION**

##### **1.4.1 REVISIONS TO THIS RFP**

In the event that it becomes necessary to clarify or revise this RFP, such clarification or revision will be by addendum. Any RFP addendum will be distributed as follows:

A Mandatory Pre-Bid Conference has been scheduled for this procurement. Any addendum issued before the Mandatory Pre-Bid Conference will be distributed to all bidders who were sent the initial RFP. Any addendum issued at the time of or after the Mandatory Pre-Bid Conference will be distributed only to those bidders represented and properly registered at the Mandatory Pre-Bid Conference.

##### **1.4.2 ADDENDUM AS PART OF THIS RFP**

Any addendum to this RFP shall become part of this RFP and part of any contract resulting from this RFP.

##### **1.4.3 ISSUING OFFICE**

This RFP is issued by the Purchase Bureau, Division of Purchase and Property. The buyer noted in Section 1.3.1 is the sole point of contact between the bidder and the State for purposes of this RFP.

##### **1.4.4 BIDDER RESPONSIBILITY**

The bidder assumes sole responsibility for the complete effort required in this RFP. No special consideration shall be given after bids are opened because of a bidder's failure to be knowledgeable of all the requirements of this RFP. By submitting a proposal in response to this RFP, the bidder represents that it has satisfied itself, from its own investigation, of all of the requirements of this RFP.

##### **1.4.5 COST LIABILITY**

The State assumes no responsibility and bears no liability for costs incurred by bidders in the preparation and submittal of proposals in response to this RFP.

##### **1.4.6 CONTENTS OF BID PROPOSAL**

The entire content of every bid proposal will be publicly opened and becomes a public record. This is the case notwithstanding any statement to the contrary made by a bidder in its bid proposal.

All bid proposals, as public records, are available for public inspection. Interested parties can make an appointment to inspect bid proposals received in response to this RFP with the Purchase Bureau buyer.

#### **1.4.7 PRICE ALTERATION**

Bid prices must be typed or written in ink. Any price change (including "white-outs") must be initialed. Failure to initial price changes may preclude an award being made to the bidder.

#### **1.4.8 JOINT VENTURE**

If a joint venture is submitting a bid, the agreement between the parties relating to such joint venture should be submitted with the joint venture's proposal. Authorized signatories from each party comprising the joint venture must sign the bid proposal. A separate Ownership Disclosure Form, Affirmative Action Employee Information Report, MacBride Principles Certification and, business registration must be supplied for each party to a joint venture.

## **2.0 PURCHASE BUREAU DEFINITIONS**

The following definitions shall be part of any contract awarded or order placed as a result of this RFP:

Addendum - Written clarification or revision to this RFP issued by the Purchase Bureau.

Amendment - A change in the scope of work to be performed by the contractor. An amendment is not effective until it is signed by the Director, Division of Purchase and Property.

Bidder - An individual or business entity submitting a bid in response to this RFP.

Contract - This RFP, any addendum to this RFP, and the bidder's proposal submitted in response to this RFP and the Division's Notice of Acceptance.

Contractor - The contractor is the bidder awarded a contract.

Customization - A feature that must be added to packaged software that involves changing code.

Deliverable - Tangible evidence of work completed.

Director - Director, Division of Purchase and Property, Department of Treasury. By statutory authority, the Director is the chief contracting officer for the State of New Jersey.

Division - The Division of Purchase and Property.

Evaluation Committee - A committee established by the Director to review and evaluate bid proposals submitted in response to this RFP and to recommend a contract award to the Director.

May - Denotes that which is permissible, not mandatory.

Project - The undertaking or services that are the subject of this RFP.

Request for Proposal (RFP) - This document, which establishes the bidding and contract requirements and solicits proposals to meet the purchase needs of Using Agencies as identified herein.

Shall or Must - Denotes that which is a mandatory requirement. Failure to meet a mandatory requirement will result in the rejection of a bid proposal as materially non-responsive.

Should - Denotes that which is recommended, not mandatory.

State Contract Manager - The individual responsible for the approval of all deliverables, i.e., tasks, sub-tasks or other work elements in the Scope of Work.

Subtasks - Detailed activities that comprise the actual performance of a task.

State - State of New Jersey.

Task - A discrete unit of work to be performed.

Using Agency or Agency - The entity for which the Division has issued this RFP and will enter into a contract.

### 3.0 SCOPE OF WORK

This scope of work lays out the objectives set for the certification solution and the business requirements to be met.

### 3.1 DEFINITIONS

This section defines terminology used within the description of this scope of work.

- API - Application Program Interface
- Browser - A web-interface platform for accessing servers on networks, intranets and the Internet
- CORBA - Common Object Request Broker Architecture developed by the Object Management Group
- Data Model - A logical map or model of data and attributes that define the information content handled by each business unit, and / or the entire Division
- Document - Either a physical piece of paper (hardcopy), an electronic representation (softcopy) or an imaged representation
- Echeck- A form of electronic payment whereby payments are electronically deducted from bank accounts.
- Event - A business occurrence that causes initiation of work as a response
- Form (Eform) - An electronic form is a data entry screen. Electronic forms shall replace most paper forms used in the office and they may be printed
- GSN - Garden State Network is the State's Wide Area Network maintained by OIT, that connects NJ state offices
- HTTP- HyperText Transfer Protocol used by browsers
- IIOP - Internet Inter-ORB Protocol, a protocol developed by the Object Management Group (OMG) to implement CORBA solutions over the World Wide Web
- MIME - Multi-purpose Internet Mail Extensions
- OIT - Office of Information Technology
- Oracle - A database management software product
- Predecessor - a process that precedes a given process
- Process - A collection of activities that achieve a business goal
- Process flow - A sequence of process activity work steps, which may be organized into a process model, written into a log file or represented by a diagram
- Role - Identifies function or purpose of a person or work agent
- Successor - a process that succeeds a given process
- SYSADMIN - System Administrator
- UNIX - Server operating system
- User - Person who performs specific work activities
- WAN - Wide Area Network
- Windows - Microsoft operating system for desktop computers

- Word (MS Word XP Professional) - A word processing software product

#### **Office of Licensure and Credentials Definitions**

- Alternate Route Program - A formal program for candidates with a Certificate of Eligibility consisting of training in Regional Training Centers, mentoring and school supervision. This program provides a means to obtain a Standard Certificate when professional education has not been completed.
- Board of Examiners - A Board, which performs credentials reviews and hears cases to make decisions about revoking and suspending certificates.
- Certificate of Eligibility (CE) - An initial certificate issued to candidates who meet the academic study, degree, 2.75 GPA, and test requirements for certification. The certificate authorizes the holder the opportunity to seek employment.
- Certificate of Eligibility With Advanced Standing (CEAS) - An initial certificate issued to candidates for certification who have completed academic degree, 2.75 GPA and test requirements, and a state approved college teacher education program.
- County Substitute Certificates - A certificate that allows the holder to temporarily perform the duties of a fully certified and regularly employed teacher. The substitute teacher may serve for no more than twenty consecutive days in the same position.
- Formative Evaluation - Evaluations completed at the 10th week and 20<sup>th</sup> week of the provisional program. The evaluations serve to assist the developing teachers.
- GPA - grade point average in academic program.
- OCR/ICR - OCR- optical character recognition (machine typed material), ICR- intelligent character recognition (handprint recognition).
- Provisional Certificate - A temporary certificate issued to a candidate who holds the appropriate Certificate of Eligibility with or without Advanced Standing and has been offered employment by a public school district or an approved private school. This certificate requires the candidate to complete a State-approved district training program or residency program leading to a standard certificate.
- Regional Training Center - Alternate Route candidates must complete two hundred hours of formal instruction, at one of several regional training centers throughout the state, administered by the Teacher and Administrator Training Unit.

- Standard Certificate - A permanent certificate issued to candidates who have met all certification requirements.
- Summative Evaluation - Final evaluation by the school that includes certification (or a standard certificate). The school may also recommend not to issue a certificate.
- TLAP (Teacher Licensing Application Program) - A method for starting the application process used by all NJ colleges and universities to submit certification applications for their candidates who have completed the approved program.

### 3.2 OVERVIEW

The Office of Licensure and Credentials has a number of missions:

- To track educators (teachers, educational services and administrators) through the process leading to issuance of a standard teacher, educational services or administrative certificate. This includes the issuance of Certificates of Eligibility with and without Advanced Standing, provisional certificates, requests for duplicate certificates, name changes and emergency certificates along with review of partial paperwork submitted at various intervals. Also included is the tracking of monies paid for services, as well as monies held on account and deposited daily into various accounts.
- To keep track of the certificates held by all active and inactive educators, including county substitute teachers.
- To provide information to school districts about individuals available to fill openings.
- To operate the Provisional Teacher Program and its Regional Training Centers.
- To maintain a repository of information concerning applicants with indictments or criminal records, or who have had their certificates suspended and/or revoked in other states and jurisdictions. These applicants must be flagged and tracked. Teachers who have been reported by school districts or private schools as having been "dismissed for cause" are also tracked.
- To track the issuance of academic qualifying certificates, i.e. for morticians and chiropractors.
- To approve and monitor college certification programs.

To achieve its objectives, the Office of Licensure and Credentials processes and manages applications from a central office located in Trenton, and accepts applications from county offices and from individuals. Typically the Office receives 100 to 200 pieces of mail per day, and up to 600 pieces during busy periods. Approximately 47,000 certificates are issued per year. Unlike some certification systems,

renewals are not a frequent occurrence. The Office of Licensure and Credentials currently employs approximately 30 people in Trenton.

The Office of Licensure and Credentials seeks to consolidate its existing automated and manual information systems and processes into a single comprehensive information system. Data from existing systems need to be converted and loaded into the new system.

The new system shall be based on a re-engineered workflow that will be designed to improve the efficiency, accuracy and timeliness of Office processes. The new system will also allow the management and imaging of all documents as they pass through the system and are ultimately archived or disposed of.

The new system shall encourage the public to visit the Office of Licensure and Credentials' secure website to submit applications and payments, check status, evaluate credentials or obtain information. Applicants may also go to the public libraries for Internet access to the website, or to district offices to submit online applications. Data entry by Office staff shall be greatly reduced.

The Office of Licensure and Credentials seeks an integrated solution capable of accommodating database management, imaging, document management, collection of fees and contact management. This system is envisioned as managing a non-redundant, electronic repository of data for all Office of Licensure and Credentials activity. It will reduce the need to maintain paper files and store hard copies of documents submitted by applicants, or generated by Office staff during the course of examination. The data migrated from legacy systems and enhanced data collection capabilities of a new system will allow for improved access to statistical data for analysis. The system shall enhance responsiveness to the general public by improving the accuracy and shortening the processing time for certification applications, and making up-to-date information available to the educational institutions and internal staff. Fees shall be recorded and deposited in a timely manner.

The Examiner function is the process that evaluates the appropriateness of academic and student teaching preparations to fulfill the requirements for a particular certificate. The system should automate the process as much as possible. There are several parameters to this evaluation: some programs are automatically accepted (approved NJ State preparation programs), some out of state programs are reciprocally approved, and specific courses and programs have been recognized in the past to be appropriate fulfillment of the preparation required by the State.

The components of the system must include the requirements for the approximate 200 certificates (many are similar) authorized under NJ Code/Regulations. It must cross check these requirements against known solutions, provided by in state and out of state colleges. If there are multiple requirements for a certificate, they must map to the possible fulfillment options that are recognized by the State. This system must be maintainable by a junior level examiner for changes to the components: state requirements, college solutions accepted, individual out of state courses that are acceptable, alternate accepted methods. This database may start with NJ schools, but must be expandable to all schools.

As part of this function, a preferred format for delivering data to this database should be made available to schools wishing to participate. All schools having online course catalogs should be able to export the data to this system in the State's preferred format, and maintain their data through the regular transfer of update files. This function should be date sensitive to enable courses to be evaluated by date.

The function shall serve two uses. The first is an online, self evaluation for applicants to receive immediate feedback on the acceptability of their credentials. Feedback must be printable comments and instruction on how to cure the deficiencies. The second is to examine applications submitted. Again, printout of results and notice to failed applicants describing deficiencies, are required. Applications that are unsolvable by the system should be routed to an examiners "to do list" for manual review.

Inadequacies of the existing systems and processes include:

- Excessive manual paper handling and processes
- Excessive storage and backlog of paper documents
- Difficulty retrieving paper documents
- Redundancy and inconsistency between paper documents and online information
- Systems and processes that no longer meet the needs of the department
- Dependency upon social security numbers for lookups
- Limited access to different computer systems
- Existing computer systems are not integrated
- Outdated database system
- No financial accounting capability
- Delay in processing payments
- Form letters must be generated manually
- Unduly long application processing time
- Poor automation of work flow among staff members
- File access systems for county and local education agencies are outdated
- Manual review by examiners currently results in delayed processing time due to reduced staffing levels.

The Office of Licensure and Credentials is seeking a certification solution that is comprised of:

- Web forms on a website, to allow the public to submit applications and communicate with the Office electronically,
- Document management packaged software,
- Imaging of external documents,
- Automating (as much as possible) the Examiner function
- Access via a web browser,
- Oracle 9i database,
- Data entry screens to enter data into, and retrieve data from the Oracle database,

- Direct interface to Word documents and production of form letters,
- Interface with criminal offenses database (to check that applicants were not convicted of criminal offenses), TLAP data from NJ colleges (to collect applicant data from colleges), ETS test scores (to collect teacher exam scores),
- Production and ad hoc reports; and
- Data cleanup, conversion and migration from legacy systems.

The contractor shall develop a fully integrated Certification System made up of the components described above. The use of packaged software shall be transparent to the user. Custom programming is expected to be required at a minimum to set up, load and maintain Oracle tables. In addition, certain data entry procedures shall require data validation capability and complex data lookups. The proposed solution must consist of the use of FileNet for imaging and document management, plus complete custom software to fulfill the other requirements.

A proposed two phase project schedule is shown below. Although the State has specified two phases, the system should be completely integrated. The State requires a system to be rolled out in two Phases. Section 3.4, Business Requirements, outlines the tasks in each phase. The tasks in Phase 2 have been selected because they are somewhat separate processes, which can be handled by the as-is processes, while the processes in Phase 1 are essential, interrelated, and urgently in need of system improvement. Bidders must present project schedules in their proposals by phase. Phase 2 is expected to start immediately after Phase 1 is completed. The contractor shall supply warranty support for both phases.

#### Phase 1

- Analysis and design
- Development
- System test
- Acceptance test
- Rollout with parallel test
- 12 month warranty of Phase 1 deliverables

#### Phase 2

- Analysis and design
- Development
- System test
- Acceptance test
- Rollout
- 12 month warranty of Phase 2 deliverables

### 3.3 GENERAL OBJECTIVES

The following objectives define the results that the new certification system must achieve in order for it to satisfy the requirements of the Office of Licensure and Credentials.

- To automate the certification process;
- To unify all Office of Licensure and Credentials data collection operations into a single system;

- To support the regionalization of examiners;
- To automate the Examiner function as much as possible;
- To capture and maintain all the data elements required to fulfill the Office's certificate processing and reporting requirements;
- To minimize data entry performed by Office staff, by moving this responsibility to applicants, and through the use of imaging;
- To support staff members in performing certificate processing actions;
- To track significant actions the Office takes on each application from initial contact through final disposition;
- To process and track payments;
- To enforce the Office's business rules, regulations and obligations;
- To edit and validate the contents of each data element to provide a high quality data resource;
- To present management with an up-to-date view of all current certificate applications, certificates, and certified educators for analysis, reporting and decision making;
- To provide users with ad hoc, as well as standardized query and reporting mechanisms;
- To incorporate legacy data from existing automated and manual information systems; and
- To support payments over the web, including credit card payments and "echecks".

### 3.4 BUSINESS REQUIREMENTS

The table below lays out the high level business requirements that the Certification System must meet, and the phase in which the function shall be developed.

Function	Business Requirement	Phase
Online counseling	Provide FAQs, interactive guidance regarding certifications and pre-screening of applicants	1
Initial Applications	Applications may be completed on the Web. Assign tracking number, to be used on all incoming and outgoing correspondence.	1
Incoming Mail	Link documents received, to applications.	1
	Use scanning and document management to capture the information and documents received.	1
Process Payments	Prepare payments for daily deposit	1
Process Applications	Update completeness checklist as documents are received.	1
	Process test scores from ETS	1
	Process TLAP applicants (ACCESS). Monitor colleges.	1
Approval of College Programs	Record all approved college programs and sub-specialties within NJ.	1
Examination Applications	Forward case to examiners when checklist is complete. Track steps through issuance of certificate. Automatically approve NJ college approved programs and course requirements by certification type.	1
	Print and send certificates and letters to applicants.	1
Review Alternate Route Applicants	Forward case to examiners when checklist is complete. Track steps through issuance of certificate.	1
	Print and send certificate/letter to applicant	1
Provisionals Traditional Route	Track provisional certificate holders, and progress toward regular certificate.	1
Provisionals Alternate Route	Track alternate route applicants and progress.	1
Criminal Convictions	Block issuance of certificate where appropriate. NASDTEC interface.	1
County Substitute Certificates	Track issuance of county substitute certificates.	1
Regional Training Centers	Allow online scheduling of classes for alternate route applicants.	2
State Board Examiners	Track cases and subsequent outcomes before the Board. Handle legal cases and credentials review.	2
Legal	Record indications of prior convictions, certification revocations and suspensions, or "dismissed for cause". Report to outside agencies, as appropriate.	2
Track evaluations For Provisional Teachers	Keep detailed evaluation information for Alternate Route and Traditional Route Teachers	2
TLAP Web Application	Enter TLAP data over the web, eliminating ACCESS database.	2

## **Phase I Functions/Views**

### Educator/Applicant View

- Welcome page
  - Online counseling
- Login function
- Application for certificate
  - Payment function
- Name change function
  - Payment function
- Duplicate certificate
  - Payment function
- Renew certificate (5 year non citizen certificate)
  - Payment function
- Status check
- Route to outside source for credentials evaluation

### Administration View (used by districts)

- Welcome page
  - Online counseling
- Login function
- Application for certificate
  - Payment function
- Status Check
- Name change function
  - Payment function
- Renew certificate
  - Payment function
- Status update
- Route to outside source for credentials evaluation
- Produce letters

### Administration View (used by Trenton)

- Welcome page
  - Online counseling
- Login function
- Application for certificate
  - Payment function
- Status Check
- Name change function
  - Payment function
- Duplicate certificate
  - Payment function
- Renew certificate
  - Payment function
- Status check
- Status update
- Browse test scores without social security numbers
- Print letters

- Produce reports
- Enter/scan foreign credentials

#### Intake View

- Welcome page
- Login function
- Scan and index documents
- Scan fees
- Record cash
- Summarize daily balances

#### Examiner View

- Welcome page
- Login function
- To do list
- Evaluate applicant
  - Examine database and scanned documents
  - Determine disposition-accept, deny
- Print certificate or denial letter with reason for denial
- Route to outside source for foreign credential evaluations

#### Management View

- Welcome page
- Login function
- Status check
- Reassign examiners work
- Reports

#### Application Administrators View

- Welcome page
- Login function
- Database table updates
- User profile updates

#### Background Processes

- New applicant - set up checklist
- Update checklist items
- Send form letters due to missing checklist items
- Automatic credential evaluation
- Assign completed applications to examiners for manual review- by workload and specialty
- NASDTEC Interface
- TLAP Interface
- ETS Interface

## **Phase II Functions**

- Managing Alternate Route Training Program / Regional Training Centers
- Tracking Provisional Teacher evaluations
- Board of Examiners
- Legal
- TLAP replacement on the web

#### 3.4.1 CERTIFICATION

There are currently over two hundred specific types of educator certificates available. For each of these certificates the system shall have a check-off list of requirements. Checklists must accommodate logic where one of several items may satisfy a requirement. When these requirements have been met, the system forwards the case to the examiner. The examiner can then approve the case, and cause the system to automatically issue the certificate. The examiner can also deny the certificate, or indicate that further steps are necessary.

The system shall automate pre-screening and evaluation of applicants who have graduated from accredited schools in New Jersey. Applications shall be forwarded to examiners only if automatic credential evaluation cannot be done. The following automation shall be accomplished in the new system:

- Based on the certificate requested (approximately 200 specific certificates, 35 different variations), the application dialogue shall pre-screen applicants based upon answers to prescribed questions. A sample dialogue follows on the next page:

**Basic Information (profile)**

**Certificate type** (drop down- i.e. certificate of eligibility (CE), certificate of eligibility with advanced standing (CEAS), standard, emergency,...)

Specific certificate requested (drop down, i.e. Standard Instructional Elementary)

then branch to appropriate list of questions...

**1. Have you completed a state approved college teacher preparation program culminating in student teaching, or do you currently hold a valid State level Elementary Certificate - yes/no**

If yes to first part of question, print college approval form and have your college/university certification officer or program chair complete this form and return it to: xxxxx.

If yes to second part of question, specify type of certificate (drop down box, i.e. Provisional, Emergency, Temporary, Lifetime, standard, regular). Submit a copy of the certificate to XXXXXX.

Date of initial certificate issuance.

Do you have teaching experience under the certificate? yes/no

If yes, how many years of experience do you have teaching under the certificate? Please provide documentation of your teaching experience.

**If applicant answers NO to question 1,**

It appears that you are not eligible for a CEAS or Standard Certificate. Do you want to apply to the New Jersey Provisional Teacher Programs Alternate Route? yes,no

If NO, we are sorry, but you are not eligible for a certificate. The applicant would be exited from any further questions.

If YES, you may apply for the Alternate Route Program, and the application for that program will be presented to the applicant.

**2. Do you have a bachelor's or higher degree from a regionally accredited college or university? yes/no**

If NO, we are sorry, you are not eligible for a certificate. The applicant is exited from any further questions.

**3. Is your cumulative GPA at least 2.75 at the conclusion of the bachelor's, higher degree, or a post baccalaureate state approved college teacher preparation program, or did your school not compute a GPA?**

If no GPA was computed, you may:

Provide a letter from your college with GPA equivalent.

Obtain approval from the Board of Examiners

**If applicant answers NO to question 3,**

We are sorry, but you are not eligible for a certificate. The applicant is exited from any further questions.

**4. Do you have an academic major in a liberal arts, or a pure science subject field, or have you completed a minimum of 60 semester-hour credits in liberal arts or science ? yes/no**

If NO, We are sorry, but you are not eligible for a certificate. The applicant is exited from any further questions.

To complete your application, please print the transcript form and have your college/university return the form with your official transcript(s). Indicate the colleges/universities that will be sending transcripts. Note that the processing fee is NONREFUNDABLE.

The intent of the dialogue is to pre-screen applicants. If any of the four questions resulted in a NO answer, the applicant shall be notified that they are not qualified for the certificate. This dialogue is also used for applicants who are trying to determine eligibility for a particular certificate. The dialogue should not be hard-coded since future changes are expected. Forms shall be printed for applicants to send to colleges or prior employers to validate responses. For example, a verification form can be sent to colleges to validate program completion. A sample form is in Appendix I.2. There shall be links to definitions of terms and requirements to assist the applicant in responding to the application questions.

- The system should wait for checklist items based on the specific certificate requested. When all items are received (except possibly test scores), an applicant is ready for credential evaluation.
- Automatic credential evaluation shall be performed for graduates of NJ accredited schools, if the college provides the credentials in electronic form to the State. NJ schools and possibly out of state schools shall be asked but not required to provide electronic transcripts and course catalogs. The contractor shall design the electronic file format. Requirements by certificate type shall be evaluated by the system, wherever possible. If automated evaluation cannot be done as a result of inadequate data, the application shall be routed to an examiner's "to do list". Currently only the TLAP applicants are automatically evaluated - certificates are issued as soon as test results are received.

#### **3.4.2 CREDENTIAL EVALUATION**

Credential Evaluation is performed whenever a certificate is applied for, and is either performed automatically (TLAP and NJ school graduates), or manually by an examiner. For manual evaluations, after all required information is provided, the system notifies the examiner to perform the evaluation. The examiner may evaluate an applicant before the test scores are received. If an application is approved by an examiner and test scores are not yet received, the application shall wait for passing test scores before the certificate is granted.

#### **3.4.3 FOREIGN CREDENTIAL EVALUATION**

The Office uses external companies for evaluating foreign applicants. The system shall keep the following information about companies that do credential evaluations:

- Name
- Address
- Contact Person
- Phone
- Fax
- E-mail
- Notes

The system shall track the transcripts evaluated and the company doing the evaluation.

When a non-US transcript is received, the system shall automatically instruct support staff to return the transcript to the candidate along with an instruction sheet letter stating that a credentials evaluation service needs to review the candidate's credentials (except in certain special cases- e.g., China and Korea).

#### **3.4.4 ELIGIBILITY CERTIFICATES**

The Certificate of Eligibility (CE) is an initial certificate issued to educators who meet the academic study, 2.75 GPA, physiology and hygiene, degree and test requirements for certification. The certificate authorizes the holder the opportunity to seek employment. This is not a certificate that allows employment. When offered employment, an applicant must be issued a provisional certificate to legalize employment.

Certificate of Eligibility With Advanced Standing (CEAS) is an initial certificate issued to candidates for certification, who have completed academic, degree, 2.75 GPA, test requirements, and a state approved college teacher education program. The certificate authorizes the holder the opportunity to seek employment, but does not allow employment. When offered employment, an applicant must be issued a provisional certificate to legalize employment.

#### **3.4.5 PROVISIONAL CERTIFICATES**

A Provisional Certificate is a temporary certificate issued to a candidate who holds the appropriate Certificate of Eligibility, or Certificate of Eligibility with Advanced Standing, and has been offered employment by a public school district or an approved private school. This certificate requires the candidate to complete a State-approved district training program or residency before a standard certificate is issued.

#### **3.4.6 PROVISIONAL CERTIFICATE ISSUANCE**

Where the employer is a public school, the following are required before a Provisional Certificate can be issued:

- Appropriate Certificate of Eligibility
- Statement of Assurance of Position to Teach
- Certification Fee
- Completed Application
- Oath of Allegiance
- Official Transcripts with Degree Conferral
- Physiology and Hygiene Requirement

Where these items are not satisfied, the system generates form letters to the educator, to the educator's employer and to the county

superintendent of schools, regarding deficiencies, and modifies the checklist for the examiner.

Where the employer is a private school, the following are required before a Provisional Certificate can be issued:

- Appropriate Certificate of Eligibility
- Approved Training and Supervision Contract
- Statement of Assurance of Position to Teach
- Certification Fee
- Completed Application
- Oath of Allegiance
- Official Transcripts with Degree Conferral
- Physiology and Hygiene Requirement

If all of the above are not satisfied, the system generates a form letter or e-mail to the school contact person (and sometimes the Provisional Teacher) requesting additional information, and modifies the checklist for the examiner. The system shall be capable of sending emails to internal or external users. The emails may be generated on an ad hoc basis by a user, or may be generated by a process.

When a provisional educator is added to, or withdraws from the Provisional Teacher Program, the case record shall reflect the change. The system shall record any break in the usual flow between the Provisional Teacher Program and the issuance of final certification.

#### **3.4.7 PROVISIONAL CERTIFICATE RENEWAL**

Though all Provisional Certificates expire in July, no matter when issued, only thirty percent of all provisional certificates need renewal. Currently, with every provisional certificate issued, a renewal form is printed. These forms are returned to this office with the appropriate fee from the county offices of education, or schools for every educator who needs renewal. The new system shall permit renewals to be issued using the tracking number over the web. Fees shall be paid by credit card, echeck, or by money order with the accompanying coupon. Certificates shall be reissued after the renewal request is made and the fee is paid. The system shall predict which Provisional Teachers shall need renewal of their Provisional Certificate, and shall renew these certificates automatically upon receipt of the renewal form and fee.

To determine if renewal is required, the factors include:

- Whether a candidate began a full-time Provisional Teacher Program by a certain date. Alternate Route teachers that are hired after October need to be renewed, and Traditional Route teachers hired after November need to be renewed.
- Any Provisional Teacher who fails to complete program requirements.
- Part time teachers must renew for a second year.

- Candidates in the Provisional Administrator Program shall generally need to be renewed since they have a 12-month training period.

#### **3.4.8 EMERGENCY CERTIFICATION / CONDITIONAL CERTIFICATES**

Emergency certificates must be renewed from year to year. The instructions for Emergency Renewal Applications using the same tracking number via the website are always provided when the Emergency Certificate is printed.

The only Emergency Certificates that are currently issued are English as a Second Language (ESL), Bilingual, Special Education, Military Science and most educational services certificates. Provision must be made for application administrators to be able to change this list.

A conditional certificate is a one year nonstandard certificate issued to candidates who meet the requirements, as specified in the regulations. The certificate is renewable annually up to a maximum of four years, in areas having a shortage of candidates as identified by the Department. Renewal is predicated upon demonstration of successful completion of coursework and tests required for issuance of a certificate of eligibility, certificate of eligibility with advanced standing or standard certificate. A conditional certificate is issued upon application from a District Board of Education in which it declares its inability to locate a suitably certified teaching staff member due to unforeseen shortages, or other extenuating circumstances. The County Superintendent must approve the application. The conditional certificate is valid only for employment in the district requesting the conditional certificate.

#### **3.4.9 EXPEDITED APPLICATIONS**

A school or district may request that an application be expedited. The system shall flag these cases, move them to the top of the worklists, and allow supervisors to monitor their progress.

#### **3.4.10 STANDARD CERTIFICATES**

A standard certificate is a permanent certificate issued to candidates who have met all State requirements. No novice teacher is issued a standard certificate (with the exception of special education) without the completion of a year of mentored teaching under a New Jersey provisional certificate.

#### **3.4.11 VOCATIONAL CERTIFICATES**

Before certain vocational teaching certificates can be issued, evaluation of the educator's experience and credentials needs to be conducted by Department of Education consultants, external to this

office. These consultants use the same e-mail system and shall be able to view imaged documents.

When needed, the vocational examiner indicates via checklist the request for consultation. The consultant is notified via a system generated e-mail or report. The system shall enable users to initiate e-mails via checklist items. Batch background processes shall generate and send the e-mails. Hard-copy printing of this request and of the needed documents is also available as an option. The vocational examiner tracks when consultation requests have been sent and when they are due for return. When needed, the system automatically generates a reminder notice for the consultant, via e-mail or hard copy. Reminder e-mails are generated via background processes.

Upon a consultant's return of a rejected evaluation, the vocational examiner transmits the consultant's comments to the educator via a form letter. This communication often generates additional materials to be received, which must be evaluated again for the same certificate application.

#### **3.4.12 DUPLICATE CERTIFICATES**

Currently, educators requesting duplicate certificates use the same application form as applicants for standard certificates. The new system shall provide this function via the website. The system shall automatically issue this certificate when all requirements have been met. Through a background process, the system shall check for completed applications and shall generate certificates in a background (batch) process.

#### **3.4.13 NAME CHANGES**

Currently, educators requesting name changes use the same application form as applicants for standard certificates. The new system shall provide this function via the website. The system shall automatically (through a background process) issue a certificate with the new name and address, once all the requirements have been met and the fee for name change is paid. The system shall also move older name information to the Alias Table and shall track name changes in the database.

#### **3.4.14 CREDENTIALS REVIEW**

The State Board of Examiners reviews the credentials of applicants who believe that they have alternative education and/or experience that fulfill certification requirements. These applications must be tracked and the outcomes recorded.

#### **3.4.15 LETTERS**

Whenever an examiner takes action on an application for certification, the system gives the examiner the option to have a form-letter generated and sent automatically to the educator or other party, detailing what requirements still need to be met for that certificate.

Often these letters shall need to be modified by the examiner with information or paragraphs added or deleted. Templates shall be created in Word, which may be modified by the examiner.

These letters shall be stored digitally and made available when viewing the imaged documents of the educator.

#### **3.4.16 TEST SCORES**

Many educator certificates require a passing test score on a test, specific to that certificate, as given by Educational Testing Service. These scores are available from Educational Testing Service a number of times per year, in the same format on tape, on disk, or for download via the Internet, as described further in Appendix C, Interfaces. The system shall match available scores with applications waiting for scores, and bring those cases whose checklists are now complete, or complete except for the score, to the attention of the assigned examiner. An examiner may approve a case pending an acceptable score, and when the passing score is received, the system shall issue the certificate automatically in a background process. Test scores without Social Security number should be available for browsing and identification/matching with applicant records.

#### **3.4.17 APPROVAL OF COLLEGE PROGRAMS**

The system shall track and make available to examiners, a list of all approved NJ college undergraduate and graduate programs. Searches can be accomplished by college or by program type. The examiner shall only refer to this list when automatic credential evaluation cannot be completed.

The system shall provide a method to store the name, location, and accreditation status and date for U.S. colleges, for lookup by the automated evaluation function and by examiners. In addition, the system shall facilitate linking to the college's online course catalog, also to be used by the automated credential evaluation function, and by examiners. Contractors should propose methods to obtain and maintain this information.

#### **3.4.18 EDUCATOR IDENTIFICATION AND SEARCHABLE HISTORY**

To this point, the Office of Licensure and Credentials has been using the educator's social security number as an identifying number. Due to changes in code interpretation, this is no longer possible. The system must provide a new identifying number scheme, herein referred to as a tracking number. This number must be assigned at the beginning of the application process. The system shall create one unique tracking number per individual, and it may be associated with different applications and certifications.

Educators may be located in the system via tracking number, social security number, or name. The system must also provide alternate means of finding educators in the database through the search of alias name fields and previous address fields.

During the application processing, all incoming and outgoing correspondence shall reference the assigned tracking number through the attachment of a coupon, which is printed at the time of the online application and then attached to all follow up correspondence. Bidders may propose other means to match incoming correspondence with the correct applicant. If correspondence is received with no tracking number, then a manual lookup by name or SSN must be performed, and a tracking number shall be assigned if needed. It is desirable, though not required, for the tracking number to be read via an OCR or barcode process, whereas the remainder of each document shall be scanned without the use of OCR. A process shall be required to search for, and merge cases where two tracking numbers have mistakenly been assigned.

### **3.4.19 SCHOOL DISTRICT TRAINING PROGRAMS**

#### **3.4.19.1 PROVISIONAL TEACHER PROGRAM**

The first step in obtaining full certification in New Jersey for a teacher who does not yet have a standard teaching certificate, and who does not have a documented full year of teaching under a certificate in another state, is the issuance of the appropriate certificate of eligibility. This certificate authorizes the holder to seek and accept offers of employment. A teacher who has completed a state-approved teacher preparation program receives a Certificate of Eligibility with Advanced Standing. A teacher who has not completed a state-approved professional education program receives a Certificate of Eligibility.

The second step in obtaining full certification in New Jersey is participation in the Provisional Teacher Program. Upon securing employment in a public, or approved non-public New Jersey school or district, a teacher enters the Provisional Program, receiving support, supervision and evaluation from a team of school based professionals over a prescribed period of time. Holders of Certificates of Eligibility with Advanced Standing (traditional route candidates) participate over the course of 30 weeks of full-time (or part-time equivalent) of teaching. Holders of Certificates of Eligibility participate over the course of 34 weeks of full-time (or part-time equivalent) of teaching, as well as with 200 hours of formal instruction.

#### **3.4.19.2 REGISTRATION**

Registration in the Provisional Teacher Program occurs when the designated contact person from the hiring school or district notifies the Teacher and Administrator Training Unit. This notification shall be accomplished by the school accessing the Office of Licensure and Credentials website and providing the necessary information with each public, parochial, or private school having a password to provide security.

The system receives the registration form, creates a new provisional teacher application, completes the checklist, and assigns the case, flagging where information provided does not match known information about the teacher. The system shall check to verify that the reported

subject teaching area is indeed the candidate's area of certification under a Certificate of Eligibility, or Certificate of Eligibility with Advanced Standing.

#### **3.4.19.3 WEB DISTRIBUTION OF REGISTRATION MATERIALS**

Applicants, as well as schools and districts shall be communicating with the Department over the web, and after Phase 2, only exceptional documents, such as modified schedules need to be mailed. The Regional Training Center Schedule, Formative and Summative Evaluations shall be produced in Phase 2 over the web, and all other documents shall be produced in Phase 1 over the web. The current registration packet consists of a number of items as follows:

- A cover memo to the school contact person
- An introductory letter for candidate
- One of six contracts
  - Public School Traditional Route
  - Public School Alternate Route
  - Private School Traditional Route
  - Private School Alternate Route
  - Charter School Traditional Route
  - Charter School Alternate Route
- Statement of Assurance of Position to Teach (six variations based on the above six contracts)
- Two Formative Evaluations (currently on NCR paper, one copy for the school, 1 for the Teacher and Administrator Training Unit, and 1 for the candidate). These evaluations shall be done via the web, in Phase 2.
- A Summative Evaluation (currently on NCR paper, one copy for the school, one for the Teacher and Administrator Training Unit, and one for the candidate). This evaluation shall now be performed via the web in Phase 2.
- Modified Schedule. The provisional teacher may not be working full time in his/her field of certification or, as a new placement, may have an abbreviated time to complete program requirements. In these cases, a special schedule of dates is needed for completion of forms and for when the program is to be completed. This schedule is also currently on NCR paper, one copy for the Teacher and Administrator Training Unit, and one for the school.
- A Regional Training Center Schedule (if candidate is Alternate Route). This schedule is also on NCR paper with one copy for the school, one for the Teacher and Administrator Training Unit, one copy for the regional training center, and one for the candidate. This function is to be performed on the web.

Production of these packets shall be automated in the new system, with the ability to download the forms from the website and to distribute documents via e-mail attachments. Signed contracts shall be kept in paper form and may be scanned to become a part of the educator's electronic file.

#### **3.4.19.4 CONTRACT**

Contracts may be completed by the school, on the website or on paper. Once the contract is received from the employing school, the system verifies the information and updates the checklist accordingly. Verification is needed to ensure that:

- The correct type of contract (one of six) has been completed
- The mentor(s) has the correct certification
- The mentor(s) is experienced
- The mentor(s) is a true peer teacher with no supervisory/administrative/evaluative responsibility over the provisional teacher
- The chairperson of the Support Team is the school principal/director
- The existence of original signatures
- The correct name and social security number and Certificate of Eligibility number for the provisional teacher

The system shall notify the staff person of contracts not meeting standards and generate a form letter so the examiner can return the contract to the employing school.

A staff person shall be reminded of uncompleted contracts after a predetermined length of time.

Upon contract approval for a non-public school candidate, the Certification Unit is notified so that a provisional certificate can be issued.

#### **3.4.19.5 STATEMENT OF ASSURANCE OF A POSITION TO TEACH**

The Statement of Assurance of a Position to Teach is also received from the school district, over the web. If it is incorrect or incomplete it is sent back to the school, with a system generated form letter indicating what needs to be changed. The system tracks this requirement using the checklist.

#### **3.4.20 ADDITIONAL TRACKING INFORMATION**

The legacy system currently used by the Office of Licensure and Credentials does not adequately accommodate the gathering of information about the total process, including aberrations and special cases that occur with regularity. Documentation on the legacy system is in Appendix D. The new system must more closely and accurately track paperwork and occurrence history.

#### **3.4.21 REPORTING FOR THE PROVISIONAL TEACHER PROGRAM**

The following reports, with varying time periods, are needed:

- New Hire Report

- Teaching Field Report
- Regional Report
- Part-Time Report
- Non-Payment Report
- Contract Report
- District Employed Report
- Point of Hire Report
- County Report
- District Report
- Contract Report.

Easy to use ad hoc reporting capabilities must be available as well. Sample reports are contained in Appendix G.

#### **3.4.22 DISTRICT FACTOR GROUP**

The new system shall have a field, which represents the District's Factor Group (DFG). The DFG is an indicator of the socioeconomic status of citizens in each district and has been useful for the comparative reporting of test results from New Jersey's statewide testing programs. Existing values are "A", "B", "CD", "DE", "FG", "GH", "I" and "J". This information is used in reports currently run by the Provisional Teacher and Administrator Training Unit's annual report. Sample reports are in Appendix G.

#### **3.4.23 PARTICIPATION IN MULTIPLE SCHOOLS/DISTRICTS**

Provisional teachers may participate in the program concurrently in more than one school, each position being part-time. In such cases each participating school/district must register the candidate, and provisional certificates are issued for each school/district.

Provisional Teachers also may leave one position before program completion and secure employment at another school/district. The candidate must be registered by the new school/district and complete any remaining program requirements.

The system must account for these variations.

#### **3.4.24 THE SUMMATIVE EVALUATION AND FINAL CHECK**

Before a Summative Evaluation is initiated, the system shall verify that the following items have been marked by a staff person, as completed on the checklist:

- Contract submitted and approved
- 30 weeks of full-time (or equivalent part-time) on-the-job support and supervision for traditional route candidates, or 34 weeks of full-time (or equivalent part-time) on-the-job support and supervision for alternate route candidates (accounting for multiple programs and possible summer hiatus)

- Successful completion of formal instruction for alternate route teachers
- Payment of appropriate fees for alternate route teachers

The summative evaluation shall be designed to be completed via the web. The results of the Summative Evaluation are checked by the system for:

- A match of the field taught with field of certification specified on the provisional certificate
- A final recommendation
- Satisfaction/collection of mentor fee requirements
- Original signatures of support team chairperson and provisional teacher. Electronic signatures may be considered, over the web.

Where the above mentioned items are not in order, the system shall generate a form letter to the candidate's contact person in the school/district indicating what correction is needed.

Once the Summative Evaluation has been reviewed by the system and by a staff member, and has received final approval by the program coordinator, a Standard Certificate is issued automatically by the system through a background process. Included with the Summative Evaluation is the teacher's Application for Standard Certification and fee. The fee may be paid via the web, either with a credit card or echeck. The Application for Standard Certification and fee are submitted separately to the Certification Unit if the Summative Evaluation was returned for correction. Changes to this process are currently under consideration. Phase 1 shall only contain status information, i.e. summative evaluation is satisfactory and the standard certificate shall be automatically issued.

#### **3.4.25 THE STANDARD CERTIFICATE**

The system matches the Summative Evaluation with the Application for Standard Certification and fee, if they were submitted separately. The applicant or district is given the opportunity to update the applicant's mailing address. If the Application is correct, and the fee and Summative Evaluation all are present, the system issues the standard certificate in subject field(s) in which the teacher is eligible. This is performed in a background process.

If there is a Certificate of Eligibility in more than one subject, the teacher needs to present an application and fee for each certificate requested. The Provisional Program has to be taken only once.

#### **3.4.26 TEACHER LICENSING APPLICATION PROGRAM (TLAP)**

Another method used for starting the application process is the Teacher Licensing Application Program, used by all NJ colleges and universities to submit certification applications for their students completing certification programs. Currently, colleges send a diskette, monthly, containing an ACCESS database of the same information that would have been submitted in written application form. Most institutions submit

more than one diskette per month, such as a school with an undergraduate program and a graduate program, or university with numerous locations, such as Rutgers. The new system shall allow submission via an FTP facility. Further information is available on the TLAP data load, in Appendix C, Interfaces.

The TLAP applications are treated the same as paper applications, with the following addition. A form letter to the college is generated after each monthly submission, listing those educators not issued certificates due to a lack of a proper test score or an indication of a criminal conviction or prior certificate suspension.

The legacy ACCESS TLAP database contains three tables: Summary, Licenses, and Teachers. Historical TLAP data must be migrated to the new system, either from the tables or from the original diskettes. Phase 2 shall replace the current ACCESS databases with entry of TLAP data over the web.

#### **3.4.27 FINANCIAL ACCOUNTING**

For each educator, a record needs to be kept of the amount of money on account, with automatic deduction of the correct amount when a transaction is made. If insufficient money is in the educator's account, the examiner is notified.

The new website shall accept payment via credit card or echeck. The contractor should implement this capability using the credit card payment and echeck facilities developed by OIT. Specifications are contained in Appendix I. Currently, money orders are used.

All checks are deposited into one, two or three different bank accounts. Incoming checks can be for individual educators or for groups of educators. More than one check can be applied to one account. Checks may be institutional checks, money orders or certified checks. No personal checks are accepted.

All forms of payment must be processed daily. Checks received need to be deposited within one day of receipt. To accomplish this, checks are scanned along with educator applications, correspondence and other documents. The check shall be attached to a coupon containing the tracking number, to identify who the check is from, what the payment is for, and the check amount. Checks are compared with coupons in the scanning and validation process. The system then provides a check report to be used for balancing purposes. This report provides a detailed list, and total amount of all checks processed since the last report was run. This report can be used to properly credit checks that do not have coupons, or that do not match their coupon. During the process of balancing the check deposits, individual check images can be easily viewed to verify recorded check information. The contractor should recommend the most efficient and least error prone method of scanning and processing checks. It is expected that not all checks shall have accompanying coupons, and that an identification procedure must be in place to correctly process the check.

#### **3.4.28 REGIONAL TRAINING CENTERS**

The following applies to Phase 2 of system implementation.

The current process for training center registration and tracking is described below. As much as possible of the process must be automated and handled through the web, to reduce or eliminate data entry and individual assignments by Office staff.

Under the Provisional Teacher Program Alternate Route, candidates must complete two hundred hours of formal instruction at one of several regional training centers throughout the state, administered by the Teacher and Administrator Training Unit. These classes operate in three phases: Phase One (fall), Phase Two (winter) and Phase Three (spring). An additional Phase One may be offered during the summer in a limited number of locations. Seven colleges and two consortia operate these Regional Training Centers. Under a grant, each college receives payment for services rendered from one-time fees paid directly to the Department of Education, by Alternate Route Teachers. The consortia receive their funding from tuition paid directly from the student to the consortia.

Currently, assignment to centers/consortia is determined at the time of registration of the candidate in the Provisional Teacher Program. Reassignment of regional training center sites is discouraged (but is possible) once the program has begun. For those attending consortia-operated training centers, reassignment is not possible.

It is necessary to track the enrollment per phase, at any given site, at any given time. Class sizes vary from year to year, and the number of centers per site and number of locations can also vary.

Two weeks prior to Regional Training Center classes beginning for each phase, class rosters are sent to the Regional Training Centers, along with blank evaluations and other materials. In each phase, after the third class, the instructor updates the rosters to indicate no shows and additions to the classes, and returns these changes to the Teacher and Administrator Training Unit for synchronization with system records. After the rosters are finalized, a bulk mailing to the Regional Training Centers is done with one report card per phase, per student. At the end of each phase, copies of the report card are submitted from the Regional Training Center to the Teacher and Administrator Training Unit, as well as to the candidate and to his/her school or district.

For each report card submitted to the Teacher and Administrator Training Unit, the date received is tracked along with the report card grade and any attendance information provided. The rating of satisfactory is the default for the provisional teacher. The other two ratings are outstanding and unsatisfactory. A reason for an unsatisfactory is also to be tracked if one is given. Staff are notified of any missing grades.

In Phase 2, the new system shall provide:

- Listings on the web site of what centers and classes are available, with schedules for each phase, address and directions. Centers may change on a yearly basis.

- Ability for districts to register themselves for classes online, with the system ensuring proper sequencing
- Ability to print customized class schedules for each student for each phase, with address and directions
- Centralized ability to schedule new classes, and assign the instructor, classroom, and maximum capacity.
- Automatic cutoff of enrollment once the class is filled
- Automatic creation of class rosters displaying class information, instructor, and the attendees' names, social security numbers and school contact information.
- Web-based recording of attendance and grade information by instructors.
- Ability for students to complete class evaluations over the web.
- Automatic identification of Provisional Teachers not completing phases as required, with the creation of form letters and updating of the applicant's checklist.

#### **3.4.29 REGIONAL TRAINING CENTER PROGRAM EVALUATIONS**

The following applies to Phase 2 of system implementation.

At the end of each phase, participants who attend the regional training centers, complete evaluations via the web pertaining to the instruction they received. The evaluations contain both objective questions, and subjective questions requiring longer answers. Evaluation data shall be available for standard and ad hoc queries.

#### **3.4.30 REGIONAL TRAINING CENTER PAYMENT**

The following applies to Phase 2 of system implementation.

Provisional Teachers may pay the one-time fee for the Regional Training Center at any time prior to, or at the time of completion of program requirements. Payment is made either via the web (credit card or echeck), or a money order is mailed along with a coupon showing the tracking number. When grades are received from the consortia sites or any hybrid system (i.e. university programs such as FDU, Montclair), payment of fee shall be assumed to have taken place. However, a different code to validate payment shall be used.

#### **3.4.31 COUNTY SUBSTITUTE CERTIFICATES**

A county substitute certificate allows the holder to temporarily perform the duties of a fully certified and regularly employed teacher. The substitute teacher may serve for no more than twenty consecutive days in the same position. The certificate is issued through the county office of education. The system shall automatically track issuance as reported to this office by the local county office of education. The county office shall enter the basic information about the applicant, over the web, and shall check credentials.

#### **3.4.32 STATE BOARD OF EXAMINERS**

The following applies largely to Phase 2 of system implementation. The State Board of Examiners perform credential reviews and hear cases to determine if certificates are to be revoked or suspended. The system shall track cases as they progress through the Board.

#### **3.4.33 LEGAL**

The following applies to Phase 2 of system implementation.

Educators who indicated a prior conviction on an application or via TLAP, and/or who have had a certificate revoked in this or another state or nation, are brought up before the State Board of Examiners for review prior to certificate issuance or rejection. There also are additional reasons for the legal examiners to bring a case for review before the Board of Examiners.

There are several steps before a review. These steps must only be accessible by DOE legal examiners. While in for review, an automatic block is implemented, which prevents any certificate from being issued to the educator. Only a legal examiner can remove this block.

New Jersey keeps an internal list of those teachers reported to the Office by school districts and private schools, as having been "dismissed for cause." This list shall block certificate issuance but shall not be reported to the National Association of State Directors of Teacher Education and Certification (NASDTEC).

Each month NASDTEC posts on their web site, a list of teachers with suspended and/or revoked teaching certificates in any state or nation. The site address is "<http://www2.nasdtec.org/nasdtec/index.html>". The system shall automatically obtain this list and integrate it with the database, flagging any future certificate application or any currently held certificate. See Appendix 9.7 for a description of the NASDTEC interface. The NASDTEC interface and the check for criminal convictions is done in Phase 1.

### **3.5 REQUIREMENTS**

#### **3.5.1 ACCOUNTING**

- The system shall process payments via credit card or echeck from the website (See Appendix I).
- The system shall insure that all checks received are processed so they may be deposited the next day.
- The system shall have a method to verify that the correct amount of payment has been applied to each account.

- The system shall ensure the entry of the form of payment, transaction type, check number and amount (this information shall be provided in a coupon accompanying the check).
- The system shall allow a payment to be applied to one or more accounts.
- The system shall automatically deduct the correct amount from an educator's account when a transaction is made and notify the examiner if additional funds are needed. The web application shall notify the user if the payment amount is not correct and it shall allow for correction of amount immediately.
- Overpayments are tracked. They may either be manually refunded or held, based on user input.

#### **3.5.2 APPROVAL OF COLLEGE PROGRAMS**

- The system shall keep track of all approved college undergraduate and graduate programs in the database available to all examiners. Search can be accomplished by college or by program type. Candidates shall be able to search the database of college approved programs.

#### **3.5.3 DOCUMENT IMAGING**

- The system shall incorporate Document Imaging for storage of all documents
- The system shall be able to scan documents of varying sizes from checks to large super-standard transcripts
- The system shall be able to scan transcripts, checks and other types of documents using various types of "copy-guard", which renders a photocopied image very hard to read.
- The system shall have a procedure to verify that all of the documents have been scanned.
- The system shall have the ability to "zoom in" on information in an imaged document to aid recognition.
- The system shall not consider an imaged document to be "official" until it has been physically examined.

#### **3.5.4 LEGAL REVIEW**

- The system shall submit educators who indicated a prior conviction on an application or via TLAP, and/or who have had a certificate revoked in this or another state or nation, to the State Board of Examiners for review, and block any further certificate issuance.

- In Phase 2, the system shall track the steps taken during a review by the State Board of Examiners. The system shall also keep these steps accessible only to the State Legal Examiners.
- The system shall only allow a certificate issuance block to be removed by a State Legal Examiner.
- The system shall keep an internal list of those teachers reported to the Office by school districts and private schools, as having been "dismissed for cause." This list shall block certificate issuance but shall not be reported to NASDTEC.

#### **3.5.5 DATA CONVERSION**

- Data from the current Access databases (see Appendix D) shall be cleaned and converted to the new Oracle database by the Contractor.
- Disparate county codes used by the Certification Unit and the Provisional Teacher and Administrator Training Unit shall be merged using the Certification Unit's method. Codes identifying valid New Jersey educational institutions shall be stored in a table available for read access to all New Jersey Department of Education applications.

#### **3.5.6 EDUCATOR IDENTIFICATION AND SEARCHABLE HISTORY**

- The system shall provide an indexing scheme or tracking number for each educator, that does not rely on the educator's Social Security Number (although this number should still be included in the database). The system shall also provide alternate means of finding educators in the database through the search of alias name fields and previous address fields.
- The system must automatically update the name and/or address of an educator when a new address or change of name is received. The old name and/or address shall be stored in an alias and previous address table.

#### **3.5.7 FOREIGN CREDENTIAL EVALUATION**

- The system shall keep the following information about services that are State-approved to complete credential evaluations:
  - Name
  - Address
  - Contact Person
  - Phone
  - Fax
  - E-mail
  - Notes
- The system shall track which transcripts were evaluated and by which company.

- When a non-US transcript is received (except in special circumstances, e.g., Korea and China), the system shall automatically instruct support staff, via system help messages, to return the transcript to the candidate along with an instruction sheet.

#### **3.5.8 FORM LETTERS**

- Whenever an examiner takes action on an application for certification, the system shall give the examiner the option to have a form-letter generated and sent automatically to the educator detailing what requirements still need to be met for that certificate, or that the certificate has been issued. The system shall allow these letters to be modified by the examiner. Word templates may be used.
- The system shall store these letters digitally and make them available when viewing the imaged documents of the educator.

#### **3.5.9 INTERNET ACCESS**

- The system shall provide a comprehensive website enabling submission of applications, status checks of applications, information regarding certification programs, and payments via credit card or "echeck". Tracking numbers and passwords shall be assigned and used for access by applicants. A role-based security model shall be implemented so that all users shall be authorized and authenticated before accessing the system (See Section 3.5.20 and Appendix E). Other external users of the system are outside institutions and agencies, such as colleges or school districts, who regularly access the website on behalf of multiple educators.

#### **3.5.10 CERTIFICATE PRINTING**

- The contractor shall recommend whether the new system shall use the existing method of printing certificates, or a new method.

#### **3.5.11 CERTIFICATE REQUIREMENTS**

- The system must maintain a user adjustable check-off list of requirements for each educator certificate. When sufficient requirements have been met, the system shall automatically forward the case to an examiner, who may authorize the issuance of the new certificate.
- The system shall print Emergency/Conditional/Provisional Renewal Applications whenever required (or the appropriate application as required). Submission shall be via the web by the applicant or the

district office. Printing of certificates shall take place at the State facility.

- The system shall automatically issue a standard certificate for a Provisional Teacher once all requirements set forth by the Certification Unit and the Provisional Teacher and Administrator Training Unit have been met.
- The system shall automatically issue a duplicate certificate via a background process when all requirements have been met. The duplicate certificate shall be requested over the web.
- The system shall automatically issue a new certificate with the new name once all the requirements for a name change have been met. The request for a name change shall be made over the web.
- The system shall automatically track issuance of county substitute certificates as reported to this office by the local county office of education. These certificates shall be stored in a database and available for lookup over the web.
- The system shall automatically forward a case to an examiner for issuance of an Academic Qualifying Certificate once all qualifications have been met.

#### **3.5.12 NEW FORMS DESIGN GUIDELINES**

- Forms shall be designed for the web that can be downloaded and printed. A method is needed to insure that the tracking number is included on all correspondence sent or received, to minimize lookups. Forms shall be designed so that information can be scanned and stored, and in the future, tracking numbers can be read via OCR. The contractor should recommend approaches to minimize data entry and error correction of scanned documents. It should be noted that OIT is funding a project for an enterprise eForms component architecture. The vendor of the eForms software shall be Adobe/Accelio. The contractor should be aware that if this infrastructure is in place prior to the start of development for this application, the State prefers this application link to that eForms service. If the service is not yet built, the State does not wish to invest in another eForms solution. Any intermediate eForms solution should use a non-modifiable document format such as PDF, and not MS Word. The State shall provide a timetable for eForms implementation at the Bidders Conference.

#### **3.5.13 NOTES FIELDS**

- The system shall provide fields for examiner's notes.

#### **3.5.14 COMMERCIAL OFF THE SHELF SOFTWARE (COTS)**

- The system shall use Oracle 9i, MS Word XP Professional, and FileNET software for imaging and document management. The proposed list of FileNET software is as follows:

<b>Model Number</b>	<b>Description</b>
501489	IDM SLU Lic-Enterprise
304869	IDM Professional Desktop 2.x - 3.x Upg
301540	IDM Web Desktop 2.x - 3.x Upg
305095	Capture Professional Low Volume 3.x
305099	Capture Professional DocProcessing 3.x

- All Commercial Off The Shelf (COTS) products shall be registered in the name of the New Jersey Department of Education, Office of Information Technology.
- Any certificates and warranty documents from any third party software shall be forwarded to the New Jersey Department of Education Office of Information Technology. COTS documentation includes all manuals, specifications, operating instructions, etc. supplied with the COTS hardware and software.
- All COTS documentation shall be organized and bound in a readily accessible manner

#### **3.5.15 REVOKED AND/OR SUSPENDED CERTIFICATES**

- The system shall automatically obtain a list of teachers with suspended and/or revoked teaching certificates in any state, each month, from <http://www2.nasdtc.org/nasdtc/index.html> and integrate it with the database, flagging any future certificate application or any currently held certificate. The database shall be automatically updated using a data file from NASDTEC. See Appendix G for specific information.
- Users shall update the NASDTEC website with information about New Jersey teachers with suspended and/or revoked teaching certificates.
- The system shall automatically notify the New Jersey Teacher Pension and Annuity Fund regarding revoked certificates.

#### **3.5.16 SCHOOL DISTRICT TRAINING PROGRAMS**

- The system shall scan contract information and use OCR or data entry to obtain the tracking number. Contract forms may be printed over the web.
- The system shall provide a method to flag any contracts not meeting standards and generate a form letter to accompany the contract for return to the employing school/district.
- The system shall notify a staff person of uncompleted contracts after a predetermined length of time.

- The system shall notify the Certification Unit upon contract approval for a non-public school candidate.
- The system shall process the Statement of Assurance of a Position to Teach. The Contractor shall recommend the method of receiving this document. If it is determined that the document is incorrect or incomplete, the system shall generate a form letter indicating what needs to be changed, to accompany the Statement of Assurance of a Position To Teach for return to the employing school/district. The Statement of Assurance of a Position to Teach should be printed from the web.
- The new system shall closely and accurately track provisional program paperwork and occurrence history (Phase 2).
- The system shall produce the following reports reflecting varying time periods as requested:
  - New Hire Report
  - Teaching Field Report
  - Regional Report
  - Part-Time Report
  - Non-Payment Report
  - Contract Report
  - District Employed Report
  - Point of Hire Report
  - County Report
  - District Report
  - Contract Report
- The system must provide easy to use ad hoc reporting capabilities.
- The system shall allow the tracking of provisional teachers participating in the program concurrently in more than one school.
- The system shall allow the tracking of provisional teachers leaving one position before program completion and/or securing employment at another school/district.
- Phase 1 shall only track satisfactory status of Summative Evaluation. Existing manual processes shall be used to track the individual requirements for the Summative Evaluation.
- In Phase 2, the system shall track and automatically check the following before reviewing a received Summative Evaluation:
  - Contract submitted and approved
  - 30 weeks, or equal time of on-the-job support and supervision for traditional route candidates, or 34 weeks or equal time of on-the-job support and supervision for alternate route candidates (accounting for multiple programs and possible summer hiatus)
  - For alternate route teachers, successful completion of formal instruction

- For alternate route teachers, payment of appropriate fees
- In Phase 2, the system shall automate as much as possible, the check of Summative Evaluations for:
  - A match of the field taught with the field designated on the provisional certificate
  - A final "yes or no" recommendation
  - Satisfaction/collection of mentor fee requirements
  - Original signatures of support team chairperson and provisional teacher
  - Where the above mentioned items are not in order, the system shall supply a form letter to the candidate's contact person in the school/district, indicating what correction is needed, and the checklist shall be updated.
- The standard certificate is issued automatically when the training center report card is entered and is satisfactory, the District Office completes a satisfactory Summative Evaluation and the fee is paid.
- The system shall check to verify that these items have been submitted before issuing the Provisional Certificate:
  - Statement of Assurance of Position to Teach
  - Appropriate CE or CEAS
  - Provisional Certification Fee
  - Oath of Allegiance
  - Official Transcripts with Degree Conferral
  - Physiology and Hygiene Requirement
  - District Mentor Plan
- If the above items are not satisfied, the system shall generate a form letter to the school contact person and the Provisional Teacher, requesting additional information, and create a notification for the examiner.
- The system shall accept provisional certificate renewal applications from the web site and process them. The system shall be programmed to determine which provisional teachers need renewal of their provisional certificate and then renew these certificates automatically upon receipt of the renewal form and fee.
- The system shall issue a standard certificate in the subject field(s) in which the teacher is eligible, upon receiving the Summative Evaluation from the Teacher and Administrator Training Unit, once the Application for standard certification is approved and the fee requirement is met. This process should be automatic based upon completed statuses in Phase 1.

### **3.5.17 COLLEGE APPROVED PROGRAMS**

- The system shall store the names of colleges and their associated programs. This information shall be used by the automatic credentials check.
  - A college may have more than one program.
  - Programs are approved by college. Examples of programs are Art, English, Health Education, etc.
  - There are three major classifications of programs. These are Instructional, Educational Services, and Administrative.
  - Each program can have multiple levels, such as undergraduate, graduate, and post baccalaureate.
  - Only colleges in New Jersey are currently reviewed and may be classified as college approved programs.
  - Each college may have multiple locations. In addition, there is a requirement to place the college in one of three areas: North, South, and Central.
- Information Needs:
  - Which colleges have program X at a graduate level in Southern New Jersey?
  - What approved programs does College Y have?
- There are multiple types of accreditation that can be given to a college. Some of the types are State, NCATE, and Regional. There may be more in the future.
- Information Needs:
  - What types of accreditation have been given to College X?
  - Which colleges have been given NCATE accreditation?
- Colleges often have plans for future programs. The system shall be able to track planned or revised programs that may occur. The projections shall be tracked to the month and year.
- Information Needs:
  - What approval submissions do I expect for the month of October of this year?

### 3.5.18 DOCUMENT MANAGEMENT

- There is a need to track incoming and outgoing correspondence.
  - Ticklers, for dates to send out correspondence, are required.
  - There should be templates for letters that can be used for tailored correspondence.
  - Certain blank forms shall be stored that may only be used for exhibits, not for filling in. For example, there are specific student advisement forms that are tailored for each school and program.
- There shall be the capability to scan certain documents, such as signature pages, and correspondence. The systems ability to scan

larger documents such as college proposals is preferred, but not required.

#### **3.5.19 SECURITY**

- The system must provide a series of logons providing different levels of access to data. All users of the application shall be authenticated and authorized for the appropriate functions based on a decentralized administration, role-based application security model. The State intends that the security be implemented via myNewJersey role-based user communities. See page 14 of Appendix E for more information about myNewJersey portal management and access/security requirements.

#### **3.5.20 SERVER**

The application shall run on the State's three-tier logical network model for web-based applications (see page 11 of OIT Technical Architecture Document, Appendix E).

Web serving shall be hosted on SunOne web servers, running on Sun hardware, using Solaris O/S.

The application shall be written in J2EE compliant JAVA code, using HTML, JSP's, servlets, beans and Enterprise JAVA Beans. The JAVA components of the application shall be hosted on SunOne's application serving infrastructure on Sun hardware, using Solaris O/S.

The database shall be Oracle 9i, running on either DOE's core platform or OIT's core platform on AIX IBM SP hardware.

The application shall be written in such a way that the internet client communicates with the web server layer via HTTP(S), the web layer communicates with the application server via HTTP, and the application server communicates with the data layer via SQLNet.

See the OIT Technical Architecture, Appendix E, for more background information on the entire State of New Jersey technical hosting infrastructure.

#### **3.5.21 STATISTICAL ORIENTATION**

- The system shall provide the following standard reports:
  - District's Factor Group (DFG).
  - New Hires
  - Regional Training Center Rosters
  - County Report
  - District Report
  - Part Time Report
  - District Mentor Plan

- The system shall provide comprehensive ad hoc reporting capabilities. Examples of ad hoc reporting requests are as follows:
  - How many special education certificates were issued in June 1998, June 1999, and June 2000? Where were the applicants hired?
  - How many emergency certificates were issued last year? In what districts? In what fields?
  - How many math teachers were hired in Jersey City through the provisional teacher program in 2001-2002? How many were Alternate Route teachers? How many were Traditional Route? How many were African-Americans? How many were Hispanics? Which New Jersey colleges prepared these teachers?

#### **3.5.22 APPLICATION ADMINISTRATOR**

- A few "power" users with a technical background shall be designated as Application Administrators. Their role shall be to maintain the user-defined tables and rules required by the system. They shall also set up new users and maintain user roles. The Application Administrator shall require special training in administering the application including setting up user roles, maintaining application tables and business rules. The system shall provide an Application Administration program used by the Application Administrator to configure and maintain the many parameters that are user definable within the system. The Application Administrator shall have three backups, and all four administrators shall be trained in the use of the Application Administration Facility.

#### **3.5.23 SYSTEM MANUAL**

- A System Manual shall be provided containing:
  - Technical information about the system
  - Descriptions of the various programs, the flow of work, and the stored procedures used to communicate with the database
  - Details about the structure of the various data tables used in the database(s).

#### **3.5.24 TEST SCORES**

- The system shall import test scores provided by Educational Testing Service and store them for matching with current applicants or educators who may apply in the future.
- The system shall match test scores with those educators waiting for scores.

- The system shall issue a certificate automatically through a background process when a passing score is received in cases where the examiner has indicated that the only remaining requirement for certificate issuance is a score equal to or higher than a certain score on a specific test.

#### **3.5.25 USER MANUALS**

- User manuals shall be provided for each client program. These manuals provide detailed instructions on how to use each of the system's programs including all menus, screens, windows, commands, user actions and error messages. The State shall review all user manuals for ease of use, completeness and conformance to quality standards. Manuals must be provided in electronic format, using MS Word.

#### **3.5.26 USER TRAINING**

- Classroom training shall be provided by the Contractor, and training dates shall be chosen by the State. Training manuals shall be provided by the Contractor. The courses are:
  - Management Overview (one session)
  - Application Administrator Training (one session)
  - User Training, by role (e.g., examiners, intake) (one session per role)
  - Power user advanced training (one session)
  - County Training (one session for each of the twenty-one county offices with facilities to be provided by the counties- a few of the larger counties may require two sessions each)
  - Regional Training (one session for each of the three regions)

#### **3.5.27 VOCATIONAL CERTIFICATES**

- The system shall enable an examiner to electronically submit material for review by educational consultants, external to this office.
- The system shall track when consultation requests have been sent and when they are due for return. When needed, the system automatically generates a reminder notice for the consultant, via e-mail or hard copy.
- The system shall generate a form letter based on the consultant's comments.

#### **3.5.28 INTERNET ACCESS**

- The system shall allow access to users at the twenty-one county offices, three regional offices and the six hundred eighty district offices of the Department of Education, via the Internet. Applicants may apply from any computer via the web.

#### **3.5.29 CHECKLISTS AND FLOW**

- The system shall provide checklists to indicate steps, status, and completeness of documentation and processes, both before and after an application is passed to an examiner or staff person.
- The system shall sort and automatically assign incoming cases according to predetermined criteria with the appropriate checklists. Supervisors may reassign cases.
- The system shall allow users to place individual cases on hold for a definite or indefinite period and/or reassign them.
- The system shall allow cases to be worked on in parallel by examiners from the Certification Unit and examiners from the State Board of Examiners. Only one user at a time shall have the ability to change an applicant's record.
- The system shall allow examiners to assign work on portions of cases to outside consultants.
- When a case is opened the system shall make available all of the data and documents associated with that case.
- The system shall contain user-defined rules that cause the notification of the appropriate staff person when a set of checklist items becomes complete or when an event occurs which brings the case to a new stage.
- The system shall have the ability to send e-mails to both internal and external users, either initiated by users or via background processes.

#### **3.6 USER VIEWS**

The System should present users with a "To Do Work List" which may be sorted by fields such as: date received, application type, applicant, or tracking number. There shall be several entry points into the application. There shall be a standard entry point for each type of user by job function. Supervisor views should provide supervisors with the Work Lists of their personnel.

#### **3.7 GENERAL DESIGN REQUIREMENTS**

The application to be developed shall be an integrated customized solution that incorporates packaged document management software, an Oracle database, and other application software, incorporating business process rules. The Contractor should recommend a solution incorporating these components into an integrated system. The exact sequence of scanning different documents and error correction should be described in the recommended approach. The degree to which OCR/ICR is

recommended should be described in the proposed solution. The web is to be used as much as possible to reduce data entry and OCR/ICR by the Office. The system should be designed with maximum flexibility so that new certificates and revised business rules may be specified simply by updating system tables. Questions should be asked of applicants, based upon certification types to perform initial screens. Certification types shall be grouped into approximately 35 sets of questions. The dialogue in section 3.4.1 is a sample set of questions.

### **3.7.1 ORACLE DATABASE**

The application shall use Oracle as the database engine to manage all relevant applicant data. These data may be separated into three general classes: educator-specific data, document-specific data and process-specific data. An example of educator-specific data is the name and address of an educator. Data representing a specific document, such as index number, or a saved document would be an example of document-specific data. A keyword occurrence table may also be stored in Oracle under control of the document management system to facilitate rapid text search facility. These data are also document-specific. Data indicating that a certificate is ready to be issued would be an example of process-specific data.

Case-related data have a logical data model, shown in Appendix A. Process-related data have a model called the Process Model, shown in Appendix B. The system shall rely upon the document management data schema commonly used for document management. The Oracle database to be developed shall contain the following data repositories.

- Certificate information repository (application specific)
- Document information repository

Since the structure of the document information repository generally depends on the document management data schema, and since these schemas are fairly standard, details of the document repository shall not be further elaborated.

### **3.7.2 USER INTERFACE**

The general concept is that users shall initiate sessions by a URL browser-based session or bookmark. The initial application window shall open. The user shall see the first user view - the main application window. This window is the main user interface. The main application window shall present users with either to-do lists by certificate (as was shown in the earlier section on user view), or, alternatively, an assigned certificate application list displaying all cases assigned or under the responsibility of the user. The software shall be designed so that from the main application window the user may navigate to any one of several facilities. Thus, the user interface shall permit drill-downs from the to-do list to specific worklists, open forms so the user may enter data and/or make decisions that affect certificate processing options, send e-mail or other notifications to supervisors or other staff as designated, and open word processing documents for review prior to printing. The application may also directly open word processing documents to permit supervisors and managers to make final edits before printing. The application should be easy to use and should minimize the number of keystrokes and mouse-

clicks so that the user can perform his work effectively and efficiently. Users may need to look up information on a case in response to a phone call. Since a number of users may be multi-tasking their activities, the user interface must be able to provide multiple windows for simultaneous viewing.

### **3.7.3 FORMS**

Forms and letters shall be produced using data in the Oracle database. MS Word templates shall be used to create form letters. Typically individual letters shall be produced and mailed. However, some bulk forms shall be printed- i.e. automatic letters shall be produced when applications are waiting for required information for more than a user-defined period of time. See Section 3.15.13 for New Forms Design Guidelines and the use of Adobe/Accelio.

### **3.7.4 ELECTRONIC DOCUMENTS**

When an existing electronic document is needed, the application calls upon the document manager to retrieve the appropriate document with the designated permissions - (print, do not print, read only, edit and save, etc). The process then opens or displays the document with the appropriate options.

It is anticipated that there shall be approximately 100 template documents stored in a template document repository. Electronic template shell documents shall be created for each of these paper form documents. Office of Licensure and Credentials shall provide the contractor with the text, style and formats to be used for these documents. These template documents shall be created in Word. The Contractor shall have the task of embedding and mapping data fields and attributes in the template documents to certificate data or educator data in the database according to the logical data model. It is anticipated that the typical template document shall have approximately twenty data fields to be populated from the database. These fields shall typically include, but not be limited to:

- Tracking Number
- Application Type
- Date
- Date of Birth
- Applicant Salutation
- Applicant Last Name
- Applicant First Name
- Applicant Suffix
- Applicant Address
- Applicant City
- Applicant State
- Applicant Zip
- Application Status
- County Office or College

The desired design philosophy is to minimize data storage and network load, maximize system response, and provide maximum utility to the user. It is envisioned that the typical fully automated process shall be able to create various new documents without human intervention except for final review. These new documents shall be created by 1) calling upon the document manager to retrieve the appropriate template document, 2) sending the template to the word processor, 3) drawing data for specific document fields directly out of the Oracle database and any additional attributes from a data entry form, and 4) filling these data into the template document fields. Once the document has been assembled, it is ready for any necessary inspection. If no inspection is needed for the process, then the document may be routed for automatic printing and electronic document storage.

When the quick re-creation of an existing document is needed, depending on the applicable rules, the application may either reassemble the document as described above, or call upon the document manager to retrieve a copy of the existing electronic document from the document repository. User and process access privileges such as read-only, read-write, etc. shall be controlled. Different users and processes shall have access privileges that depend on what is permitted by the application administrator. Only users or processes having the requisite permission may retrieve specific templates or existing documents.

No applicant-related electronic document may be created, modified and stored without going through the system and the underlying document management application layer. The user or process must also retrieve all case-related electronic documents by going through the application and the underlying document management application layer.

#### **3.7.5 ROLE VIEWS**

Role views will be set up by the Application Administrator. The view shown to a staff member shall depend on the role of the person. For example, examiners shall have an "Examiner's View" of the application.

Supervisors and managers shall have expanded views with access to applicant-specific information, as well as process-specific information in order to manage staff for which they are responsible. Supervisors and managers shall have access to specific management reports. The System/Application Administrator (SYSADMIN) shall have access to the Applicant Data Administration function. SYSADMIN shall manage all directories, access rights, process structure-related information, etc (application not database). The Database Administrator (DBA) shall handle Oracle database administration and the network administrator shall provide network support.

#### **3.7.6 WORD PROCESSING AND PRINTING**

Word is the standard for word-processing for the Office. Users of the application may open Word documents as required. These documents may

be printed on laser printers connected directly to user workstations, or through local area networks within the regional offices. The application shall have processes that prepare documents. The processes pull appropriate template documents into the word processor from a repository of shell documents, then pull relevant data from the Oracle database (i.e. name and address) and use the data to populate fields within the Word shell documents. Once these documents are completed, they are sent to network printers. If required, Word documents shall be e-mailed.

#### **3.7.7 PROCESS FLEXIBILITY**

The Office of Licensure and Credentials personnel have a great deal of discretion in handling applications. Circumstances may also intervene to change the course of an application. For example, an applicant may request the wrong type of certificate. Depending on the Office's business rules, the system shall be sufficiently flexible to bring other ongoing processes on a given application to a stop, and begin an alternate process.

#### **3.7.8 MANDATORY / NON-MANDATORY PROCESSES**

The Office's process model has certain implicit complexities. Some processes have specific predecessor activities, e.g. all checklist items must be received before an examiner evaluates an applicant. However, there shall be processes that may exist without explicit predecessors, such as the TLAP applications. Any process may be initiated by an authorized person, at any time.

#### **3.7.9 MANAGEMENT NOTIFICATIONS**

There are several time-sensitive processes that are part of the Office's business, such as emergency certificates. At all times state statutes, rules, administrative law and Office of Licensure and Credentials policies must be strictly adhered to. As part of the goal of quality case management, when specified time limits are reached, reminders must be automatically generated and sent to applicants. If an applicant fails to comply with completing a process step within a pre-defined period, then a supervisor must be notified.

#### **3.7.10 E-MAIL**

It is anticipated that certain notifications shall be provided via e-mail. The application must provide email integration through an industry standard email interface. Presently the DOE's email servers are MS Exchange. The application shall be designed to support any industry standard email package, i.e. Exchange, Sun, Notes and Groupwise.

#### **3.7.11 POST DESIGN SPECIFICATION RIGIDITY**

Once the system design and workplan are approved by the Office of Licensure and Credentials, the development specifications are to remain fixed. In order to maintain integrity during the development stage, the Office intends to establish a change committee to evaluate and to make determinations for any enhancements or changes. No changes or enhancements deviating from the specifications either in this RFP or the approved design and workplan shall be permitted during development unless approved by this committee. The contractor shall submit along with a scope of work on the proposed change or enhancement a price quote for the work based on the rates or prices lines set forth in the contractor's bid proposal. Unless otherwise warranted, once development begins, the contractor is to complete development before introducing any additional changes. The Office shall rely upon contractor's experience to minimize the chance of unexpected development problems. Unforeseen implementation difficulties due to original design or software incompatibilities must be immediately reported to the change committee, along with any remedy or work-around, if known or available.

#### **3.7.12 MINIMAL COMPLEXITY DESIGN**

As stated elsewhere in this RFP, it is a requirement to minimize the complexity of the software solution and maximize the integrity of the system integration. One result of this principle is that if one software package can perform necessary tasks, as well as the integration of two software packages, then only one software package shall be used. Contractor shall have latitude in recommending software packages and tools, but minimizing complexity and maintenance costs of the system installation is a design requirement. Oracle and FileNET software are both currently used widely within the State. Adobe/Accelio is planned to be used in the future for eForms applications.

### **3.8 DOE IT ENVIRONMENT**

The application shall run on the State of New Jersey's application hosting environment including SunOne web servers, J2EE compliant SunOne application servers, and Oracle data servers. The web and application server layers shall be hosted at OIT's West Trenton Data Center, and the data shall be hosted either at DOE's Data Center at Riverview Plaza or at OIT's Data Center in West Trenton. Internet connectivity is provided out of the West Trenton Data Center. Based on the information provided in this section, the contractor must identify any additional requirements not supported by the State's standards that are required to satisfactorily support the proposed solution and required performance criteria.

#### **3.8.1 DESKTOP**

The desktop component refers to the computer environment (operating system and hardware) utilized by the end users to support the needs of the business. The current minimum configuration for the desktop environment is described below.

- Windows XP Professional
- 200 MHz or higher Pentium-compatible cpu
- 128 megabytes (MB) of RAM
- 2 gigabytes (GB) hard disk space

#### **3.8.2 GROUPWARE/MESSAGING**

Groupware is an integrated form of desktop communication software that combines e-mail and document management applications. The Department is utilizing MS Exchange Server 2000 with MS Outlook 2000 client.

#### **3.8.3 OFFICE AUTOMATION**

Office automation refers to the applications that employees use to produce their work. These applications include word processors, spreadsheets, desktop databases and presentation graphics. The Department is currently standardized on the Microsoft Office 2000 suite of products.

#### **3.8.4 DATABASE MANAGEMENT**

- The database serving platform for this application shall be a centralized Oracle 9i database in Trenton.

#### **3.8.5 DOE NETWORK**

The Department of Education Network utilizes TCP/IP network protocol to connect individual user desktop computers together for file storage, printing, e-mail, application distribution and connectivity to the Department's remote sites, State Departments/Agencies and the Internet via the Garden State Network (GSN). In general, the Department of Education Network consists primarily of Dell network servers (i.e. file servers, print servers, application servers), CISCO routers, Cabletron switching hardware, CAT5 cabling, fast Ethernet (up to 100 Mbps) network interface cards (NICs) in desktop computers and network peripheral items (HP and Lexmark printers, HP scanners, etc). The Department of Education is migrating to a Windows XP Network Operating System with Active Directory, from Microsoft NT 4 domain Network Operating System (NOS) software.

The Department of Education Network provides connectivity from its central office to the 21 county offices, 3 resource centers and 3 regional centers via T1 Frame Relay Circuits, and 2 satellite offices via ATM. School districts primarily communicate with the Department of Education via dialup services or the Internet. Currently, the Department of Education has provided web-based applications to enable school districts to communicate with the Department via the Internet. The Department of Education utilizes a three-tier architecture for hosting web-based applications.

See Appendix E for a discussion of the wide-area view of the hosting network.

#### **3.8.6 INTERNET/INTRANET**

Internet/Intranet technologies are a critical component of the Department's IT architecture to provide a source of research and technical information, improved communication, serve public information needs and support Department business needs. Internet/Intranet technologies can be categorized into four general groupings: browsers, internet blocking and monitoring devices, web servers and application servers. Identified below is a synopsis of the four categories of Internet/Intranet technologies:

- **Web Browsers-** The Department's standard for web browsers are Microsoft's Internet Explorer, Version 5.0 and higher. The contractor shall ensure that any system being developed shall support both of the dominant browsers on the market, Microsoft Internet Explorer 5.0 and Netscape Communicator 4.7.
- **Internet Blocking and Monitoring Devices-** The Department utilizes both Dell and CISCO caching servers to provide blocking and authentication control associated with Internet/Intranet services. The Department utilizes WEBTRENDS Firewall Suite, to control and monitor Internet usage by Department staff. OIT uses CISCO PIX firewalls.
- **Web Servers-** The State's standard for Web Servers is SunOne Web Server, Version 4x.
- **Application Servers** - The State's current environment is SunOne Application Server, Version 6x.

#### **3.8.7 DOCUMENT MANAGEMENT SYSTEM**

Document Management Systems provide the Department with capabilities for document imaging, document versioning, document viewing, document storage, reporting and records management. Currently, the Department of Education is utilizing FileNET, via a MOU (agreement) with the Department of Treasury, Division of Revenue, for the document storage and Cardiff for imaging services (OCR/ICR). The Department shall be setting up an agreement with the Department of Treasury, for Teacher Certification, which shall include licensing and support for the FileNET software.

#### **3.8.8 CURRENT SYSTEM**

The current database system consists of two flat file databases residing on an Alpha Server system and several standalone ACCESS databases. The system is described in Appendix D, legacy systems. This information needs to be transferred to the new database. At the moment, the legacy system contains records for four hundred and forty thousand educators and is growing rapidly. Data within the system needs to be conformed and cleaned prior to conversion. In a number of

situations, the codes used have been changed midstream and some fields have been used for different purposes.

Electronic inputs into the system currently include the scan results from an optical scanner, data on graduates from college teacher education programs, which resembles the data from the optical scanner, and test score data from Educational Testing Service.

Data entry input for the Certification Unit comes from an average of one hundred to six hundred pieces of mail received per day, each containing from one to twenty pieces of paper. In addition the Provisional Teacher and Administrator Training Unit receives 9,000 contracts, 20,000 evaluations and 9,000 faxed registrations per year.

Currently the 21 county offices and satellite offices connect to the Department of Education via an ATM circuit, or a Frame Relay Circuit, to interact with the Office of Licensure and Credential's database as it currently resides on the Department of Education's Alpha Server system.

The Office's business processes may be characterized as "low-volume" in comparison to, say, financial transaction systems. However, the size of each document transported may be modestly large compared to a financial transaction, and thus solution architecture is an important consideration. A solution is desired that shall minimize network activity by minimizing the transport of redundant or unnecessary data over the network.

It is required for users to access the application through a thin client. The solution shall be a web-based application using a browser as a thin client communicating with a web-server.

### **3.9 WEB-BASED ARCHITECTURE**

A thin client browser (with necessary plug-ins) coupled with efficient software implementation on the server side of the application is expected to reduce network communication, as well as offer improved user accessibility and mobility. A majority of new software products already embrace HTTP, MIME and IIOP protocols. Since software applications are evolving towards a common Internet design, it is desirable to have a solution that shall remain in the mainstream for the life-cycle of the contemplated system, without the need for future re-tooling.

The Office desires a web-based solution that permits greater flexibility via the user's individual browser settings and offers accessibility and mobility via the Internet that is not available through traditional networks. Such a web-based solution has reduced maintenance because all upgrades are made at one point and at one time. Multi-tasking users should also find greater versatility because of the ability to simultaneously maintain several open browser sessions. The proposed solution shall also provide the ability to maintain security for each part of the system.

### **Future Directions**

Contractors are encouraged to familiarize themselves with the State of New Jersey's Enterprise Information Technology (IT) architecture and enterprise IT activities. For awareness, bidders are advised to review the Office of Information Technology (OIT) Technical Guidelines, the Enterprise Logical Data Model, and the preliminary Enterprise Data Management Framework documents. These sets of guidelines provide a background and insight to the network, hardware, operating systems and data architecture available to New Jersey agencies, and insight to the future direction of the State of New Jersey's Enterprise Information Technology. Please note that these documents are not intended to be systems requirements to be used for bid responses.

### **3.10 SOFTWARE FOR WORKSTATIONS**

For solutions proposed that permit a web-based architecture, it is anticipated that workstation software shall consist of Internet Explorer 5.x as browser, Word as word processor, and Groupware. As stated earlier, the Department used MS Exchange Server 2000 with MS Outlook 2000 client and has migrated to MS Exchange 2000. Any special APIs required for invoking this software must be provided by the contractor and be readily deployed on user machines.

Special software for development and maintenance to be used by application administrators should be installed only on designated development workstations, with restricted access. It is expected that development consoles shall have all the necessary designer tools required to build and maintain application components. Administrative software shall be more widely distributed to certain users for maintaining definition of users and access rights by various users. Likewise, supervisory software shall be more widely distributed to supervisors, for maintaining supervision of work and re-distribution of work when necessary.

Other software proposed for integration into the solution shall be of a readily obtainable nature (e.g., Adobe Acrobat Reader and other similar plug-ins). Developers shall provide any development software not otherwise readily available, from free sources.

### **3.11 DATA MANAGEMENT**

Applicant data shall be maintained in Oracle databases using Oracle 9i.

If the document management tool maintains a proprietary document management repository (such as an index file), then there shall be a synchronous Oracle database containing document management attributes necessary to generate management and supervisory reports on document storage, document status, etc. If the document management engine can utilize an Oracle database directly, as a repository for document management data, then implementing this document management software feature automatically satisfies this requirement.

Since Oracle is the intended database engine, there is a need for a forms development/maintenance tool. If a form generator is not available with the document management software, then another developer tool that is compatible with the Oracle database may be selected.

### **3.12 OTHER APPLICATION SOFTWARE CONSIDERATIONS**

The Office of Licensure and Credentials conforms to standards specified by the Department of Education's IT environment and the NJ Office of Information Technology (OIT). The contemplated application shall interface with these standards, as specified in section 3.8, in a seamless manner.

#### **3.12.1 THE APPLICATION ADMINISTRATOR PROGRAM**

The Application Administration program is used by the System/Application Administrator, to configure and maintain the many parameters that are user definable within the system. The Application Administrator shall have the ability to define new types of certificates and the associated checklists, and modify these for existing certificate types. See section 3.5.23 for a description of application administrator training requirements.

The Application Administrator requires the ability to make corresponding changes to the web site. The ability is needed to post new help and FAQ information, to guide applicants in choosing the appropriate type of certificate when applying, and to assist other parties visiting the web site.

System security is one of the items that the Application Administrator is able to maintain. System users and their capabilities are added, modified and deleted using the User Management capability. As users are added to the system, they are assigned roles, which only allow them to perform functions that they are authorized to perform. A few types of roles that can be assigned include Scan, Reject Entry, Verification, Data Entry and Administration. The roles that are assigned to a system user determine their capabilities and level of authority.

In addition to setting up and maintaining system user information, the Administration program is used to monitor and maintain the flow of work throughout the system. The component of the document management software, called the batch queue manager, allows the Application Administrator to monitor and control batches of documents that have been scanned into the system. It allows the Application Administrator to modify a batch's priority code to change the order in which it shall be processed, and can be used to re-route or delete a batch.

The document queue management feature allows the Application Administrator to select and view documents that exist within the various queues on a document by document basis, and can be used to move a document from one queue to another, as needed.

Many statistical reports can be selected within the Administration program. A few of these reports include information such as:

- Scan History
- Document History
- Verification Keystroke Information, to record which user made a change or issued a certificate

Setting up and maintaining system users, monitoring and maintaining the batch queue and document queue, purging old data, setting field confidence levels, and providing statistical reporting are a few of the items that can be used to optimize the system's performance.

In addition to the items described above, the Administration program can be used to customize a significant number of other parameters within the system.

The system's parameters shall be easy to select and modify. Upon selecting the Administer menu option in the Administration program, it displays an extensive list of system parameters that can be defined and maintained.

Upon selecting a system definable item from the Administer menu list, the Administration program displays the contents of that item. For example, the program shall display the Application window upon selecting the Application menu item.

This window displays a list of educator application form documents. This is a list of forms and documents that an educator must complete as part of the process of applying for an educator Certificate. In addition to describing the document, this window is used to define any fees that may be required for processing the document. During an examiner's review process, the forms on this list become an integrated part of their evaluation checklist.

Another system definable item that can be selected from the Administrator menu list is, Institutions. This is a list of codes and descriptions for all Educational Testing Service (ETS) colleges and institutions. The items on this list are referenced in many places throughout the system.

#### **3.12.2 DATABASE CODES**

The county codes used by the Certification Unit and by the Provisional Teacher and Administrator Training Unit need to be standardized. The Certification Unit currently uses an odd number for each county. The Provisional Teacher and Administrator Training Unit uses odd numbers for public schools in each county, and even numbers for private schools in each county. These codes need to merge using the Certification Unit's method, retaining information on which schools are private schools. Codes identifying valid New Jersey educational institutions are stored in a table available for read access to all New Jersey Department of Education applications. The conversion process shall address the standardization of codes used in the new Oracle database.

#### **3.12.3 NOTES FIELDS**

Fields for examiner's notes are required.

#### **3.12.4 ALIAS AND ADDRESS HISTORY**

The system shall automatically search educator's name and address histories and account for these during the search process.

#### **3.12.5 CERTIFICATE PRINTING**

The printing of certificates is currently handled by the legacy VAX system in batches of approximately 500. This system enables the printing and mailing of the certificates at the touch of a button. The new system must provide a functionally equivalent, or better solution for the printing of certificates.

#### **3.12.6 INTERNET ACCESS**

Internet access via a new Office website is desired for the system. This shall include data entry with required security for colleges, school districts, and applicants, as well as restricted lookup with appropriate security for colleges and school districts. The application process shall be initiated by an applicant, over the web.

#### **3.12.7 STATISTICAL ORIENTATION**

The database design needs to be oriented toward collecting all of the information about an individual (data, documents, letters, images, etc.) and tracking his/her progress. The generation of statistics is an important secondary function. Most, but not all of the statistics needed are foreseeable, such as the number of Alternate Route applicants in the Provisional Teacher Program who have applied within the last week in a particular county, or the analysis of test scores.

#### **3.12.8 SECURITY**

The system shall provide a series of password protected logons providing different levels of access to data, from full change to read-only to selected read-only. A role-based security model shall be used. School districts, applicants and outside agents shall be required to provide valid passwords to access the system.

#### **3.13 SPECIFICATION OF PROCESSES**

The business requirements presented earlier have been analyzed for structure and content. Structure information plus interviews with Office of Licensure and Credentials staff have been translated into the Logical Data Model in Section 9.1, and the Process Model in Section 9.2. The high level processes to be included in Phase 1 are:

- Certification
  - Web application
  - Credential evaluation
  - Eligibility certificates
  - Provisional certificates
  - Emergency/Conditional certificates
  - Standard certificates

- Vocational certificates
- Duplicate certificates
- Name changes
- County substitute certificates
- Academic qualifying certificates
- Renewals
- Approval of College Programs
- Intake / scanning
- Test scores

Following the high-level process diagram, are diagrams that further break down the business processes. Appendix B lays out the higher-level processes to be incorporated into the system and the next level of process detail. Two sets of diagrams are presented, "as is" diagrams, which represent current processes and "to be" processes, which represent processes for the new system.

The high-level process diagram provides the layout of the process organization. The sub-level process diagrams provide layouts of the next level sub-process making up the high-level processes. These are the essential specifications of the Office of Licensure and Credentials processes. These charts are followed by additional application process diagrams depicting processes and actors involved in each of the processes.

### **3.14 DOCUMENT MANAGEMENT SOFTWARE**

Since the FileNet software is already licensed by the State, it shall be used in this application. The following is a list of requirements for document management:

- Create documents by merging data elements from the database into any of the approximately 100 predefined word processing document templates. The system must create the file, name it, and save the fully qualified filename as a 'document pointer' in the database.
- Integrate with Word.
- Invoke the word processor from the system to insert free form text into documents and boilerplate text, and edit and print documents. Database fields and text shall be entered from the same screen or set of screens.
- Use the system to search the database to find documents, and then invoke the word processor from within the application to view, edit, or reprint the document.
- Allow access to electronic documents only through the application. Downloaded documents must be marked as "checked out." Uploaded documents must be marked as "checked in."
- Provide quick text search capability and search on specific data fields or keywords. Allow for complex searches (multiple passes) and drill down to documents.
- Document templates need to be linked to certification types (specific work processes).

- In general, all users shall have read-only access except to specific types of documents.
- Response time shall be quick, such as under 5 seconds for opening and closing individual documents. Complex text searches through many documents may take longer.
- System shall ensure that only one user is permitted to change a document at a time. Once a document is 'checked back in', it may be viewed/changed by authorized users.
- Specify retention for document types.
- Specify security of document types by user or role.
- Generally conform to WAPI or MAPI-WF or other WF standards to permit modular replacement/updates of word processing and document management software and other system components.
- Store and index images of documents.

#### Specific Business Needs for Document Management

- System must produce the certificate and allow printing of duplicates.
- Spell checking shall be available for all text data entry.
- All forms shall be stored in one central location.
- The application shall be able to update boilerplate text.
- Boilerplate text shall be changeable when working on a specific applicant.
- Ability to access documents from history or archives.
- Upon completion of document search, sort 'found' documents by tracking number or other sorting options, such as ssn, last name, or date.

Most of the processing in the Certification Unit are initiated when an application is received. Applications are received, for example, for review of credentials, Certificates of Eligibility, Certificates of Eligibility With Advanced Standing, numerous subject teaching and vocational teaching certificates, educational services certificates, administrator certificates, duplicate certificates, renewals, provisional certificates, emergency/conditional certificates and name changes. This work often involves the review of partial paperwork submitted at various intervals. In the new system work shall be initiated by actions taken by applicants, over the web.

#### Official Documents

Due to the fact that this Office receives a number of forged or altered documents, documents shall be examined at the time they are scanned. In addition, transcripts are difficult to image, due to the background copy protection features, and the scanner operator may need to make multiple attempts and adjust the scanner settings to obtain a good image. Although all documents shall be imaged, a process is needed to ensure that the image is readable. Although examiners are expected to work from imaged documents, the original documents shall be available if needed and shall not be destroyed until after the case is closed or possibly longer, as determined by new Office policy and management. Original documents shall be placed in a box after scanning, and stored with other documents received the same day. The system shall track the physical location of documents by box number and date scanned. If

multiple documents for one case are received on different days, they shall not be stored together. This is because originals rarely are needed after they are scanned, and the effort to file case documents together would exceed the benefit.

### **Document Imaging**

The types of documents to be scanned present two unique challenges to document imaging. The new system must accommodate them both:

- Batches contain documents of varying sizes, from checks to large super-standard transcripts
- A number of transcripts and checks have a form of "copy-guard", which renders a photocopied image very hard to read. Other states report that adjusting the settings on the scanner, although time consuming, yields an acceptable image. The Contractor is responsible for recommending scanner hardware, establishing procedures, and performing testing to ensure that imaging is successful.

### **Backscanning**

Active applicants documents need to be backscanned in Phase 1. Other documents shall be considered at a later time. Paper files for many educators already exist on the shelves. The back-file conversion plan calls for the imaging of these files, only when the educator they are related to, shows some activity, such as sending in an application or other paperwork. At some future time, old files shall be backscanned into the system by Teacher Certification staff.

### **3.15 DATA QUERY, RETRIEVAL AND REPORTING**

The contractor shall use a leading industry reporting and query tool such as Crystal Reports, Business Objects/Web Intelligence or Oracle Reports. The querying / reporting component of the System must be flexible and responsive for a variety of users. See sections 3.4.21, 3.5.21 and Appendix G for a discussion of specific reporting requirements. The following list of general requirements is comprehensive and represents typical capabilities of a report writer.

The requirements are broken down into three categories:

- General Requirements
- Requirements for typical users
- Requirements for "power" users (see section 3.5.21)

#### **General Requirements**

- Ability to set up "views" to simplify user access to data, including data definitions
- Flexibility to make minor changes to existing reports (either simple edits or parameters)
- Easy to understand report specification process
- Rich functionality for more sophisticated reports

- Efficient performance
- Web-enabled (html, PDF download, etc.)
- Ability to electronically distribute reports
- Provide online help

#### Requirements for typical users

- Select columns from a pick list of field names
- Use the mouse button with drag-and-drop capability to place and move columns, or alternatively use cursor keys
- Specify headings/footings/text anywhere within a report, including centering and specific placement of text
- Override default column titles
- Sort by one or more fields across or down the page
- Produce various totals, such as column totals, row totals and subtotals
- Use special formatting, such as colors, fonts, shading and boxes
- Set border thickness and color, and background pattern, color and shading
- Pull graphical images into reports by importing graphical files
- Produce multiple types of reports, including mailing labels, columnar lists, cross tabs, and forms. Columnar lists are tabular reports that allow for multiple sort levels, groupings and subtotals. Cross tabs can summarize one or more numeric fields by multiple row and column variables. Cross tab calculations include sum, count, average minimum, maximum, and standard deviation, as well as percentage of row, column or total.
- Merge database, and calculated and total fields with text files, to create form letters
- Provide a clipboard to be used to cut, paste, and copy
- Perform fast delete/restore with an 'undo' function
- Select data for report-building selection criteria through simple menus and point-and-click specification
- Provide context-sensitive help
- Export reports to spreadsheets, Word and email
- View limited real data as the report is being constructed (working with complete data files during report development, results in slow system response time)
- Describe common operations with a toolbar containing icons for functions, such as bolding, totaling, printing or saving the report (a description of the button shall be on the screen or displayed in the status bar as the cursor passes over it).

#### Requirements for "power" users

- Development of presentation graphics: bar charts, pie charts, 3D graphics
- Statistical capabilities through automated functions for average, square root, maximum, minimum, logarithms, regression analysis, etc.

- Production of multi-step reports. For example, an analysis may require summing before sorting, or a calculation may require two steps to perform
- Ability to pass variables or parameters to reports. This offers flexibility and minimizes coding changes for report selection process.
- Ability to drill down through reports
- Calculating new fields for reports based upon existing data. These new fields may be used for sorting or selection, and may be embedded in text.
- Insertion of objects into reports (e.g. OLE).

#### Reports to be developed

Specific reports to be developed by the contractor include standard reports and management reports. Standard reports are reports for users such as: case lists, work lists, case histories, monthly summary reports and so forth.

The standard reports to be developed by contractor may be considered as "packaged reports." These reports are standardized and rarely subject to change. These reports run during normal system processing and are either initiated by a user or a periodic process, such as end-of-month reporting. It is anticipated that the contractor must utilize supported reporting tool products, such as Oracle Reports, Crystal Reports or Business Objects, to develop these standard reports. The most appropriate of the supported reporting tools shall be selected by the Contractor.

Management personnel shall perform ad hoc reporting for specialized analyses. It is anticipated that a reporting tool such as Business Objects or Crystal Reports shall be used for these specialized analyses. Contractor shall choose the report development application tool that best suits and most efficiently implements Office of Licensure and Credentials standard and management report requirements.

#### Standard Reports

The current systems produce a set of reports. The contemplated system shall have the ability to reproduce these reports (a list of reports is provided in Section 3.4.26 and Section 3.5 - School District Training Programs and samples are contained in Appendix 9.8). Below is a list of the additional standard reports required as part of this RFP:

- Open Cases Listed by Case Category
- Open Cases Breakdown by County
- Age of Open Cases by Status
- Open Cases by Examiner
- Closed Cases
- Test Information Reports

#### Management Reports

In addition to the above packaged reports, below is a list of the set of management analysis reports required as part of this RFP:

- Cases Received by Year
- Cases Closed by Year
- Certificates Issued by Type
- Test Information Reports

### **3.16 INTERFACE WITH ETS TEST SCORE SYSTEM**

The System needs to update test scores of applicants, using an electronic transfer of data. The system must be able to match applicants to test scores and hold the test scores where no applicant match is found. Test scores are discussed in Section 3.5 and Appendix C.

### **3.17 LEGACY DATA CONVERSION ISSUES**

The Office of Licensure and Credentials currently maintains certain data in an Alpha Server System. The application currently maintains two flat files. This data is to be extracted, and restructured to meet the new data structure, and loaded into appropriate Oracle databases. Detailed file layouts are shown in Appendix D. Conversion to the Oracle database must take place in Phase 1.

The State shall be responsible for creating the flat files to be used for data conversion. The contractor shall be responsible for defining the data mapping, and converting the data. The State shall assist the contractor in understanding the legacy data. The contractor shall be responsible for performing the data conversion, including any programming necessary for the conversion. The data shall be loaded into Oracle tables in the new system. The contractor is responsible that data was converted properly. The State shall ensure that accurate data is in the flat files that shall be used by the conversion program.

### **3.18 NUMBER AND DESCRIPTION OF USERS**

The Office of Licensure and Credentials has a staff of 38, including current vacancies. All staff are located in Trenton. The current staff positions and counts are as follows. Staff duties and responsibilities shall be fitted to the new processes.

Assistant Commissioner, Division of Educational Programs and Assessment  
Director, Office of Licensure and Credentials

3 Examiners

1 Educational Program Development Specialist

3 Education Planners

5 Planning Associates

0 Educational Program Assistants

1 Administrative Analyst

3 Administrative Assistants

2 Secretarial Assistants

8 Clerk Typists/Clerk Transcribers

After process reengineering, the approximate number of employees in each work role is expected to change. The Department expects that

staff positions and responsibilities shall change along with the new system.

Role Category	Description
Intake	Process incoming documents
Examiners	Examine credentials and make recommendations
Administration	Administration & support services
Management	Review cases and supervise staff

Since several employees handle more than one responsibility, there is overlap in employees' roles. This chart represents the types of workstation views that must be made available for all employees to serve all roles. Some supervisors and managers may require access to all views.

In addition, there shall be users in the district, region and county offices with different levels of usage. Some of these users only require limited access to the system.

### 3.19 TRAINING

#### Purpose

Use of the system requires training of staff. There is a wide range of computer literacy among Office of Licensure and Credentials staff. Approximately 40 Office of Licensure and Credentials personnel shall require workstation level training, in order to become familiar with the system to perform their jobs. One or two persons from the Office of Information Technology may need training on the system to provide future system support. In addition, Office of Licensure and Credentials shall designate up to ten individuals as "power users" who shall become deeply familiar with the system, and up to four individuals as application administrators and/or technical maintenance staff. The power users shall become future trainers for new users. These staff shall require more advanced training. The work performed at each virtual workstation shall have to be demonstrated to Office of Licensure and Credentials power users. Contractor staff shall spend time to assist these staff to become familiar with the new system. A small number of users shall be trained prior to user acceptance testing so that acceptance testing may be performed. See section 3.5.26 for additional information about training.

#### Basic Requirements

There shall be a combination of formal training classes and one-on-one training. The contractor must supply one copy of the user manual to each Office of Licensure and Credentials employee the first time they attend a training course. (Some employees may attend multiple courses.) The contractor shall not be required to provide basic personal computer skills.

#### Users

Training shall be oriented toward the job functions of the users. Users performing the same roles shall be grouped into the same class. The users to be trained are:

- Examiners
- Support Staff
- Supervisors/Managers
- Power users
- Application Administrators (one on one training)
- Offsite users (county/region/district)

#### Training Materials

The contractor is required to create training materials and train all users in the features of the system relevant to their job functions. The contractor is responsible for the creation, printing, and distribution of printed class materials, which may be based on but cannot be identical to the user manual. These materials must be up to date and must coordinate with the trainer's lectures and demonstrations. The contractor shall provide an electronic version of all materials, and ensure that they are kept current to the production release for the duration of the contractor's contract. The contractor shall update training material to reflect improvements suggested by Office of Licensure and Credentials management.

#### Formal Training Classes

There shall be formal training classes for each application module that trains all users of the relevant module. The training classes shall contain an overview of the features of the product, and a step by step instruction of how to use the application. There must be screen demos of how to use the product. The training shall include instruction on error messages. The class must include ample time for hands-on interactive exercises using Office of Licensure and Credentials sample business cases and data. The interactive exercises shall be conducted in the development-training environment of the application.

The training must cover use of new equipment, such as scanners.

Approximately 40 Trenton-based users are to be trained by the contractor. Most of these are office personnel with fixed responsibilities. It is anticipated that approximately 5 regular training sessions shall be held at which approximately 4 to 10 people shall attend. Coordination between rollout and training is required to provide staff with "just in time" training. There shall be separate sessions at the county level with a separate session for each of the twenty-one counties and one session for the regional office users. These users shall be trained in the functions that they shall be authorized to perform. The training facilities shall be provided by the State.

#### Management Overview Session

An introductory session shall be developed to introduce management personnel to the system. The course shall introduce management to the special management features and data captured by the system.

The course covers the system architecture, information flow, operational concepts, and the system hardware and software. It includes the basic imaging fundamentals, the operation of the system and the capabilities of each element in the system. The curriculum shall illustrate component inter-relationships and provide examples of equipment use and interactions/interfaces. The course shall draw from system documentation and vendor manuals as appropriate.

The objective of the management overview course is to provide the participant with a basic understanding of the system functions and capabilities, and answer questions that demonstrate their understanding of the hardware and software elements, subsystem functions, basic system operating flow and procedures, as well as the use of the system to make better management decisions.

#### Training After Rollout

The training of new or transferred workers after rollout shall be the responsibility of the Office.

#### Application Administrator Training

One training session shall be devoted to application administrators to transfer necessary knowledge about creating new certificates and checklists, modifying existing certificates and checklists, defining users and/or roles, security issues, and other aspects of applications administration. The system documentation shall be used as class material.

### **3.20 DOCUMENTATION**

The contractor shall deliver system and user documentation required to operate, administer and maintain the installed solution. The documentation shall be delivered in MS Word format. See sections 3.5.23 and 3.5.25 for additional details. At project initiation, the Office and the Contractor shall agree to specific document content. The documentation shall be reviewed by the Office. The Contractor shall use a documentation methodology to ensure consistency and quality. A detailed technical guide shall be prepared for the application administrator, if such documentation is not already available with the selected tools. In addition, the contractor shall prepare detailed technical documentation on the customizations implemented such as:

- Organization structure and user views implemented
- Data model description as implemented
- Codes and associated data used for indexing files as implemented
- Location and names of programs, databases and commentary notes specific to the implementation

#### Overall Requirements

- The software documentation shall be available electronically and hard copy.
- It shall be possible to print any portion of the software documentation.
- The application software documentation shall be updated with the installation of each software revision, update, or fix.
- The software documentation shall be delivered before software acceptance.
- Online help shall consist of an electronic version of this user manual made available from within the system.

#### State Tasks

- Work with contractor to supply a rules and procedures document to be included in online rules and procedures facility.

#### Contractor Deliverables

- Complete system and user documentation, draft and final versions.
- Online help facility (electronic version of user manual).
- Online rules and procedures facility.

#### User Documentation

User documentation in the form of brief user manuals or help guides shall be created that assists novice users with their duties. These manuals provide instructions on how to use each of the system's programs, including all menus, screens, windows, commands, user actions and error messages.

Such guides may contain a section on general use of the application and specific sections for the different user views encountered by users. The user documentation shall be delivered just before user acceptance.

The user documentation shall contain at a minimum:

- Overview of software
- Glossary of terms
- Description of major functions
- Scanning documents
- Navigational flow of the major functions
- For each function:
  - Step by step instructions of how to perform the function; description of what steps and data are mandatory, and what are optional
  - Screen prints depicting the function
  - Opening, using, storing, and printing of documents in the document management environment
  - Reporting and query instructions
  - Error messages for each function

- Creating Word documents from templates
- Contacts for help

A more detailed guide shall be prepared for the application administrator if such documentation is not already available with a proposed software package solution.

#### System Documentation

The purpose of this documentation is to understand the design and architecture of the system, and provide guidance to a technical person who may be making changes to the application.

The system documentation shall include items such as:

- Glossary of terms
- Data model (logical and/or physical), dataflow diagrams (if applicable)
- Tables, indexes, sequences and views
- Table and View usage
- Data Dictionary
- Relationships among user functions, files, inputs, outputs, and programs
- Special logic
- Overview of functional components or programs, including program description, name, variables, and validation rules
- Customization of data structures and forms
- Modifications of reports
- If applicable, maintenance of rules and/or process tables
- Documentation on creating Word templates
- Creating Word documents from templates
- Creating extracts from applications
- Error messages
- Standard troubleshooting solutions
- Libraries of files

#### COTS System Documentation

All Commercial Off The Shelf (COTS) products shall be registered in the name of the Office of Information Technology. Additionally, any certificates and warranty documents from any third party software shall be forwarded to this Office. COTS documentation includes all manuals, specifications, operating instructions, etc. supplied with the COTS hardware and software. All of these documents shall be organized and bound in a readily accessible manner.

### **3.21 ONSITE WORK / ACCEPTANCE TESTING / ROLLOUT PLANS**

#### Onsite Work

The Contractor shall develop the system offsite, with regular visits to the site to ensure good communication and demonstrate progress. The Contractor

shall provide appropriate workstations to its staff for development. System access and testing must be scheduled so as not to interfere with normal office operations.

#### System Testing

Contractor shall write and submit a system test plan during the analysis and design phase of the project to be approved by the State. The system test is to be carried out by Contractor staff, and Contractor staff must verify that all furnished software operates in accordance with the specifications as identified in the RFP, and that the requirements of the contract have been met in full.

#### Acceptance Testing

Contractor shall write and submit an acceptance test plan during the analysis and design phase of the project to be approved by the State. The acceptance test verifies that all furnished software operates in accordance with the specifications as identified in the RFP, and that the requirements of the contract have been met in full. The acceptance test plan shall include, but not be limited to, the following acceptance criteria:

- The acceptance test shall be conducted prior to rollout.
- The acceptance test shall include walk-through demonstrations of all activities.
- The acceptance test shall be conducted against full volume data.
- User acceptance tests of application functionality at pre-specified intervals must be included in acceptance test plan.
- The State Project Manager shall accept the software when it has been demonstrated that it is operating in accordance with the specifications and requirements described in the RFP.
- All software documentation and training materials must be delivered to the State before acceptance testing.

#### Rollout and Parallel Period

Contractor shall provide an implementation schedule and plan for data migration, training and user acceptance testing. Two environments must be set up: one for testing/training and the other for production. These environments must be in place prior to acceptance testing.

Following successful acceptance testing, a parallel period is required during which the new system and the legacy system are both in production. A method is required to ensure that data in the legacy system and in the new system are in synchrony at the end of the parallel period. During the parallel period, problems with the new system shall be fixed by the Contractor as they are encountered. The parallel test shall end when the State is satisfied that the new system is sufficiently reliable and all known problems are resolved, except for any problems for which the State specifically agrees to a deferred resolution.

Due to the additional staff effort required to run two systems, the parallel test must not occur during the period of peak activity from May through October.

### **3.22 PERFORMANCE / FOLLOW-ON SUPPORT**

#### Performance

While it is not expected that the solution shall be computationally intensive, there may be unforeseen performance issues. Office of Licensure and Credentials standards for acceptable solution performance are average response time metrics:

- Total support time for a typical application package received in the mail, to perform data entry of identifying information, scanning of accompanying documents, and payment processing to allow payment, if any, to be deposited the next day- 3 minutes.
- Display of data entry screen - 3 seconds
- Simple query - 3 seconds
- Complex query - 10 seconds
- Nightly batch processes - 4 hours
- Document retrieval using document metadata - 10 seconds
- Full text search - 60 seconds

#### Support

Following rollout, Contractor shall resolve problems by supplying immediate workarounds followed by corrective action. It is understood that while hardware, network, equipment and information resources available to Office of Licensure and Credentials have limitations and it is not the Contractor's responsibility to correct problems inherent with the State's existing systems or infrastructure, it must be Contractor's responsibility to work with the Office of Information Technology and the Office of Licensure and Credentials staff during and after development so that performance meets user expectations, and if serious problems or deficiencies are discovered, Contractor shall immediately advise the Office of Licensure and Credentials.

Contractor is to provide follow-on support for twelve months subsequent to rollout for both Phase 1 and Phase 2. Reported problems with the software must be covered for the duration of this contract under the warranty. It is anticipated that the system shall be in operation during the first year of this contract. Additional State-approved enhancements shall be paid for on an hourly basis (if required). Following general training, users having questions shall interface with the Office of Licensure and Credentials power users. On occasion these power users may encounter problems requiring expert resolution, or they may have questions of contractor's development team. If system fixes are required, they shall be considered warranty work. Other than enhancements, all work shall be considered warranty work. Adequate resources should be made available to address any fine-tuning issues during the warranty period. Maintenance must be included under the custom software maintenance agreement, which shall include any changes in custom software due to the installation of new package software releases. The State may want to extend maintenance beyond the two year period, but shall decide at a later time.

The Office of Licensure and Credentials shall provide users with internal support concerning the system. The Contractor is not expected to provide support to the general user community; the Contractor is to provide support only to Office of Licensure and Credentials power users and application administrators. However, during the parallel period, the Contractor shall

have at least one person onsite full time, to provide an immediate response to any problem encountered.

#### Warranty and Post-Warranty Solution Support

The State shall require support and a minimum one-year warranty after rollout. The warranty period for all software shall begin on the date that Phase 2 system rollout and parallel test are complete and accepted by the State, and conclude twelve months later. At the State's option, post-warranty support may be extended for an additional year at the agreed upon rates for year 2 (as specified in section 8.1.5). The warranty shall provide for:

- All software to be free of defects or imperfections that prevent performance as specified herein
- System maintenance includes support for packaged software problems as part of packaged software maintenance
- Correction, at the contractor's expense, of errors found during this warranty period
- All software upgrades, revisions, new versions and patches, while maintaining full functionality for any customizations made to packaged software
- Warranty on implementation and system integration work, including all customizations
- Response to technical support calls within 24 hours
- Known problems must be corrected expeditiously, critical problems immediately
- All work performed under the warranty must be at no additional cost to the State

Support of all software procured from the contractor (not package software purchased by the State directly from software vendors), shall be provided by the Contractor. Software support shall be provided under the warranty for one year after rollout (at no cost to the State) and by maintenance for two years following the warranty period. The Contractor's support program for software shall include:

- All software upgrades, revisions, new versions and patches, while maintaining full functionality for any customizations made to packaged software
- System maintenance includes support for packaged software problems as part of packaged software maintenance
- Support of customized solution which may include package software
- Preventive maintenance must occur between the hours of 7 PM and 7 AM
- Response to technical support calls within 24 hours
- Problem resolution within 3 business days that may require Contractor to come on-site
- Known problems must be corrected expeditiously, critical problems immediately
- Two year maintenance agreement, priced separately in Section 8.0
- All maintenance subsequent to the warranty period must be performed under the maintenance contract

If the solution includes package(s), then there shall also be a Help Desk function available for technical staff 8 hours/day, Monday-Friday, 8:30am-4:30pm.

### **3.23 STATUS REPORTS**

The state requires status reports from project inception through project rollout. The format for status reports shall be MS Word, MS Excel or MS Project. The contractor shall provide status reports to keep the State informed of project status and issues. The status reports shall include the following information:

- The status of each task, and, if necessary, subtasks in process but not yet complete (In Process).
- List of tasks and subtasks scheduled for completion within the next week.
- The cause of any failure to meet the work plan, corrective action measures put in place to preclude recurrence, and a corrective action plan.
- A list of issues and problems encountered in the week just concluded, both resolved and unresolved, together with alternative solutions and recommendations for resolution of outstanding issues and problems (open items).
- Attach an updated project plan, with Contractor hours delineated at the task, and if necessary subtask levels identifying actual hours expended, estimated hours to completion, originally planned hours per the original project plan submitted and variance of planned against actual accomplishments.

### **3.24 STATE RESPONSIBILITIES**

The State shall assign a Project Manager for this project. All deliverables must be approved by the State's Project Manager. The State Project Manager shall receive the Contractor's Status Reports and shall attend all Status Meetings. The State Project Manager shall also ensure that DOE subject matter experts be made available to the contractor. The State Project Manager and subject matter experts shall review design and shall be available to assist in testing.

## **4.0 PROPOSAL PREPARATION AND SUBMISSION**

### **4.1 GENERAL**

The bidder must follow instructions contained in this RFP and in the bid cover sheet in preparing and submitting its bid proposal. The bidder is advised to thoroughly read and follow all instructions.

The information required to be submitted in response to this RFP has been determined to be essential in the bid evaluation and contract award process. Any qualifying statements made by the bidder to the RFP'S requirements could result in a determination that the bidder's proposal is materially non-responsive. Each bidder is given wide latitude in the degree of detail it elects to offer or the extent to which plans, designs, systems, processes and procedures are revealed. Each bidder is cautioned, however, that insufficient detail may result in a determination that the bid proposal is materially non-responsive or, in the alternative, may result in a low technical score being given to the bid proposal.

The bidder is instructed to clearly identify any requirement of this RFP that the bidder cannot satisfy.

### **4.2 PROPOSAL DELIVERY AND IDENTIFICATION**

In order to be considered, a bid proposal must arrive at the Purchase Bureau in accordance with the instructions on the RFP cover sheet. Bidders submitting proposals are cautioned to allow adequate delivery time to ensure timely delivery of proposals. State regulation mandates that late proposals are ineligible for consideration. The exterior of all bid proposal packages must be labeled with the bid identification number, final bid opening date and the buyer's name. All of this information is set forth at the top of the RFP cover sheet.

### **4.3 NUMBER OF BID PROPOSAL COPIES**

Each bidder must submit one (1) complete ORIGINAL bid proposal, clearly marked as the "ORIGINAL" bid proposal. Each bidder must submit ten (10) full, complete and exact copies of the original. The copies required are necessary in the evaluation of your bid. Bidders failing to provide the required number of copies shall be charged the cost incurred by the State in producing the required number of copies. It is suggested that the bidder make and retain a copy of its bid proposal.

### **4.4 PROPOSAL CONTENT**

The proposal should be submitted in one volume and that volume divided into three(3) Sections as follows:

#### **4.4.1 SECTION 1 - FORMS**

#### **4.4.1.1 OWNERSHIP DISCLOSURE FORM**

In the event the bidder is a corporation or partnership, the bidder must complete the attached Ownership Disclosure Form. A completed Ownership Disclosure Form must be received prior to or accompanying the bid. Failure to do so will preclude the award of the contract.

#### **4.4.1.2 MACBRIDE PRINCIPLES CERTIFICATION**

The bidder must complete the attached MacBride Principles Certification evidencing compliance with the MacBride Principles. Failure to do so may result in the award of the contract to another contractor.

#### **4.4.1.3 AFFIRMATIVE ACTION**

The bidder must complete the attached Affirmative Action Employee Information Report, or, in the alternative, supply either a New Jersey Affirmative Action Certificate or evidence that the bidder is operating under a Federally approved or sanctioned affirmative action program. The requirement is a precondition to entering into a valid and binding contract.

#### **4.4.1.4 SET ASIDE CONTRACTS**

This is a contract with set-aside subcontracting requirements. The bidder must return with its bid proposal a completed Notice of Intent to Subcontract form listing all subcontractors that it intends to use during the course of the contract. Failure to do so will be sufficient cause to reject a bidder's proposal as non-responsive.

Bidders intending to utilize subcontractors must also include a completed and signed Subcontractor Utilization Plan. Failure to do so will be sufficient cause to reject a bidder's proposal as non-responsive.

#### **4.4.1.5 BID BOND**

This Section is not applicable to this RFP.

#### **4.4.2 SECTION 2 - TECHNICAL PROPOSAL**

In this Section, the bidder shall describe its approach and plans for accomplishing the work outlined in the Scope of Work Section, i.e., Section 3.0. The bidder must set forth its understanding of the requirements of this RFP and its ability to successfully complete the contract. This Section of the proposal must contain the following information:

##### **4.4.2.1 MANAGEMENT OVERVIEW**

The bidder shall set forth its overall technical approach and plans to meet the requirements of the RFP in a narrative format. This narrative should

convince the State that the bidder understands the objectives that the contract is intended to meet, the nature of the required work and the level of effort necessary to successfully complete the contract. This narrative should convince the State that the bidder's general approach and plans to undertake and complete the contract are appropriate to the tasks and subtasks involved.

Mere reiterations of RFP tasks and subtasks are strongly discouraged, as they do not provide insight into the bidder's ability to complete the contract. The bidder's response to this Section should be designed to convince the State that the bidder's detailed plans and approach proposed to complete the Scope of Work are realistic, attainable, and appropriate and that the bidder's proposal will lead to successful contract completion.

#### 4.4.2.2 CONTRACT MANAGEMENT

The bidder must describe its specific plans to manage, control and supervise the contract to ensure satisfactory contract completion according to the required schedule. The plan must include the bidder's approach to communicate with the State Contract Manager including, but not limited to, status meetings, status reports, etc.

#### 4.4.2.3 DETAILED PLANS, APPROACH AND DELIVERABLES

This Section of the bidder's response proposal shall set forth in detail the bidder's plans and approach for completing all tasks, or other work elements required by the Scope of Work. The State desires a solution that integrates package software for document management using FileNET software, word processing, e-mail and the Oracle database with custom programming. The task list should include all tasks necessary for a complete solution.

A task or other work element is defined as a discrete unit of work to be performed. For each task, or other work element, the bidder shall propose a deliverable item. A deliverable is defined as tangible evidence of work completed. Each deliverable will be cross-referenced to the appropriate RFP task, or other work element.

The bidder's response shall cover each task or other work element set forth in the Scope of Work Section as follows:

- Section 3.4 - Business Requirements
- Section 3.5 - Requirements
- Section 3.6 - User Views
- Section 3.7 - General Design Requirements
- Section 3.8 - DOE IT Environment
- Section 3.9 - Web-based Architecture
- Section 3.10 - Software For Workstations
- Section 3.11 - Data Management
- Section 3.12 - Other Application Software Considerations
- Section 3.13 - Specification of Processes
- Section 3.14 - Document Management Software
- Section 3.15 - Data Query, Retrieval and Reporting
- Section 3.16 - Interface with ETS Test Score System
- Section 3.17 - Legacy Data Conversion Issues
- Section 3.18 - Number and Description Of Users
- Section 3.19 - Training

Section 3.20 - Documentation  
Section 3.21 - Onsite Work / Acceptance Testing / Rollout Plans  
Section 3.22 - Performance / Follow-On Support  
Section 3.23 - Status Reports

The bidder shall detail how the bidder intends to complete the required work. The bidder's response should clearly cross-reference RFP Section and/or task, or other work element numbers, as well as RFP page numbers.

If the Scope of Work Section of this RFP does not specifically contain or refer to tasks, sub-tasks or specific work elements, the bidder should further develop the Scope of Work contained in the RFP in its bid proposal submitted in response to this RFP. This should take the form of a detailed, step-by-step description of the work to be performed by the bidder. The detailed description should be organized logically to reflect the order in which the work will be performed. The sequence of work should be structured in a manner, which identifies the major tasks, sub-tasks or other work elements, which are necessary in performing the piece of work.

#### **4.4.2.3 CONTRACT SCHEDULE**

The bidder should include a contract schedule. If key dates are part of this RFP, the bidder's schedule should incorporate such key dates and should identify the completion date for each task and sub-task required by the Scope of Work. Such schedule should also identify the associated deliverable item(s) to be submitted as evidence of completion of each task and/or sub-task.

The bidder should identify the contract scheduling and control methodology to be used and should provide the rationale for choosing such methodology. The use of Gantt, Pert, or other charts is at the option of the bidder. Note that Status Reports will be required throughout the project to monitor the progress of the work and promptly deal with any issues or problems.

#### **4.4.2.4 POTENTIAL PROBLEMS**

The bidder should set forth a summary of any and all problems that the bidder anticipates during the term of the contract. For each problem identified, the bidder should provide its proposed solution.

#### **4.4.3 SECTION 3 - ORGANIZATIONAL SUPPORT AND EXPERIENCE**

The bidder should include information relating to its organization, personnel, and experience, including, but not limited to, references, together with contact names and telephone numbers, evidencing the bidder's qualifications and capabilities to perform the services required by this RFP.

##### **4.4.3.1 LOCATION**

The bidder should include the location of the bidder's office that will be responsible for managing the contract. The bidder should include the telephone number and name of the individual to contact.

#### **4.4.3.2 ORGANIZATION CHART (CONTRACT SPECIFIC)**

The bidder should include a contract organization chart, with names showing management, supervisory and other key personnel (including subcontractor's management, supervisory or other key personnel) to be assigned to the contract. The chart should include the labor category and title of each such individual.

#### **4.4.3.3 Resumes**

Detailed resumes should be submitted for all management, supervisory and key personnel to be assigned to the contract. Resumes should be structured to emphasize relevant qualifications and experience of these individuals in successfully completing contracts of a similar size and scope to those required by the RFP. Resumes should clearly identify previous experience in completing similar contracts. Beginning and ending dates should be given for each similar contract. A description of the contract should be given and should demonstrate how the individual's work on the completed contract relates to the individual's ability to contribute to the successfully completed project. With respect to each similar contract, the bidder should include the name and address of each reference together with a person to contact for a reference check and a telephone number.

In the event the bidder must hire or otherwise engage management, supervisory and/or key personnel if awarded the contract, the bidder should include a recruitment plan for such personnel. Such recruitment plan should demonstrate that the bidder would be able to initiate and complete the contract within the time frame required by this RFP.

#### **4.4.3.4 Backup Staff**

The bidder should include a list of backup staff that may be called upon to assist or replace primary individuals assigned. Backup staff must be clearly identified as backup staff.

In the event the bidder must hire management, supervisory and/or key personnel if awarded the contract, the bidder should include, as part of its recruitment plan, a plan to secure backup staff in the event personnel initially recruited need assistance or must be replaced during the contract term.

#### **4.4.3.5 ORGANIZATION CHART (ENTIRE FIRM)**

The bidder should include an organization chart showing the bidder's entire organizational structure. This chart should show the relationship of the individuals assigned the contract to the bidder's overall organizational structure.

#### **4.4.3.6 EXPERIENCE OF BIDDER ON CONTRACTS OF SIMILAR SIZE AND SCOPE**

The bidder should provide a comprehensive listing of contracts of similar size and scope that it has successfully completed, as evidence of the bidder's ability to successfully complete the services required by this RFP.

Emphasis should be placed on contracts that are similar in size and scope to those required by this RFP. A description of all such contracts should be included and should show how such contracts relate to the ability of the firm to complete the services required by this RFP. For each such contract, the bidder should provide the name and telephone number of a contact person for the other contract party. Beginning and ending dates should also be given for each contract.

#### **4.4.3.7 FINANCIAL CAPABILITY OF THE BIDDER**

The bidder should provide proof of its financial capacity and capabilities to undertake and successfully complete the contract. A certified financial statement for the most recent fiscal year and current bank reference(s) are acceptable.

#### **4.4.3.8 SUBCONTRACTOR(S)**

4.4.3.8.1 Should the bidder propose to utilize a subcontractor(s) to fulfill any of its obligations, the bidder shall be responsible for the subcontractor's(s): (a)performance; (b)compliance with all of the terms and conditions of the contract; and (c)compliance with the requirements of all applicable laws.

4.4.3.8.2 The bidder must provide a detailed description of services to be provided by each subcontractor, referencing the applicable Section or Subsection of the RFP.

4.4.3.8.3 The bidder should provide detailed resumes for each subcontractor's management, supervisory and other key personnel that demonstrate knowledge, ability and experience relevant to the part of the work which the subcontractor is designated to perform.

4.4.3.8.4 The bidder should provide documented experience to demonstrate that each subcontractor has successfully performed work on contracts of a similar size and scope to the work that the subcontractor is designated to perform in the bidder's proposal.

#### **4.4.4 SECTION 4 - COST PROPOSAL**

4.4.4.1 Bidders must submit their cost proposal using the State supplied price sheet(s) attached to this RFP.

Failure to submit all information required will result in your bid being considered non-responsive. Each bidder is requested to hold its prices firm for a minimum of ninety (90) days so that an award can be made.

The State requests a firm fixed price contract for the work, including warranty work, described in this RFP. After rollout, the State will be contracting with the contractor for any non-warranty enhancement work on a time and materials basis, based upon the rates provided by labor category on the price sheets in section 8.0. The State will also be contracting for a

maintenance agreement for two years following the warranty period after rollout.

#### **4.4.4.2 LABOR**

Each bidder should also provide a comprehensive listing of all labor categories that may be used to perform additional work, ongoing support and/or special projects or according to the additional work and/or special project clause(s) of this RFP. Loaded hourly rates are to be submitted for all labor categories that the Bidder anticipates may be required to perform additional work and/or special projects. These hourly rates must be all inclusive. Per diem payments will not be made based upon hourly rates.

Failure to include a labor category along with a loaded hourly rate will exclude that category from eligibility to perform additional work, ongoing support and/or special projects under contract. Each Bidder may submit labor categories for additional work that is not included in the base proposal to perform the Scope of Work required by this RFP.

Each Bidder may also submit any additional price or cost information that the Bidder feels may be required to perform any additional work, ongoing support and/or special projects required by this RFP.

Only price and costing information, provided by the Bidder in its original bid proposal, submitted in response to this RFP, may later be used for additional work, ongoing support and/or special projects to be paid against this Contract.

The cost for the work described in the Scope of Work, Section 3.0, is to be included in the fixed price contract. A one year warranty period will be provided to the State for fixing all bugs related to the original Scope of Work (Section 3.0) and will be at no additional cost to the State. Any new requirements or enhancements will require written approval of the State and the work will be performed on a time and materials basis using the rates specified on the price sheets in section 8.0. Maintenance for package software and customizations for a two year period will be provided.

#### **4.4.4.3**

A bidder's failure to fully, properly and accurately complete all of the cost information required by section 8.0 of this RFP may result in their bid being rejected as non-responsive.

## 5.0 CONTRACTUAL TERMS AND CONDITIONS

### 5.1 PRECEDENCE OF CONTRACTUAL TERMS AND CONDITIONS

The contract shall consist of this RFP, addendum to this RFP, the contractor's bid proposal and the Division's Notice of Acceptance.

Unless specifically noted within this RFP, the Standard Terms and Conditions take precedence over the Special Terms and Conditions.

In the event of a conflict between the provisions of this RFP, including the Standard Terms and Conditions and the Special Terms and Conditions, and any addendum to the RFP, the addendum shall govern.

In the event of a conflict between the provisions of this RFP, including any addendum to this RFP, and the bidder's proposal, the RFP and/or the addendum shall govern.

### 5.2 PERFORMANCE BOND

This section is not applicable to this RFP.

### 5.3 BUSINESS REGISTRATION

All foreign corporations receiving a notice of contract award shall be afforded seven (7) days thereafter to register with the Division of Revenue.

### 5.4 CONTRACT TERM AND EXTENSION OPTION

The term of the contract shall be for a period of **four years**. The anticipated "Contract Effective Date" is provided on the cover sheet of this RFP. If delays in the bid process result in an adjustment of the anticipated Contract Effective Date, the bidder agrees to accept a contract for the full term of the contract. The four years of the contract are as follows: contract year 1- design, implementation, rollout; contract year 2- warranty; contract year 3-maintenance year 1; and contract year 4-maintenance year 2. However, the warranty period shall not begin until after the State has accepted and approved all the Project work required year 1- design, implementation, rollout. Years 2 and 3 maintenance shall follow consecutively after the expiration of the warranty period. Notwithstanding any delays in completion and rollout of the Project, the initial term of the Contract is four years. The contract may be extended for an additional two **years**, by mutual written consent of the contractor and the Director.

### 5.5 CONTRACT TRANSITION

In the event services end by either contract expiration or termination, it shall be incumbent upon the contractor to continue services, if requested by the Director, until new services can be operational. The contractor acknowledges its responsibility to cooperate fully with the replacement contractor and the State to ensure a smooth and timely transition to the replacement contractor. Such transitional period shall not extend more than

ninety (90) days beyond the expiration date of the contract, or any extension thereof. Prior to the termination of the contract, the Contractor shall transition the support required under Section 3.22 of the RFP to the State. The contractor will be reimbursed for services during the transitional period at the rate in effect when the transitional period clause is invoked by the State.

#### **5.6 AVAILABILITY OF FUNDS**

The State's obligation to pay the contractor is contingent upon the availability of appropriated funds from which payment for contract purposes can be made. No legal liability on the part of the State for payment of any money shall arise unless funds are made available each fiscal year to the Using Agency by the Legislature.

#### **5.7 CONTRACT AMENDMENT**

Any changes or modifications to the terms of the contract shall only be valid when they have been reduced to writing and executed by the contractor and the Director.

#### **5.8 CONTRACTOR RESPONSIBILITIES**

The contractor shall have sole responsibility for the complete effort specified in the contract. Payment will be made only to the contractor. The contractor shall have sole responsibility for all payments due any subcontractor.

The contractor is responsible for the professional quality, technical accuracy and timely completion and submission of all deliverables, services or commodities required to be provided under the contract. The contractor shall, without additional compensation, correct or revise any errors, omissions, or other deficiencies in its deliverables and other services. The approval of deliverables furnished under this contract shall not in any way relieve the contractor of responsibility for the technical adequacy of its work. The review, approval, acceptance or payment for any of the services shall not be construed as a waiver of any rights that the State may have arising out of the contractor's performance of this contract.

#### **5.9 SUBSTITUTION OF STAFF**

If it becomes necessary for the contractor to substitute any management, supervisory or key personnel, the contractor will identify the substitute personnel and the work to be performed.

The contractor must provide detailed justification documenting the necessity for the substitution. Resumes must be submitted evidencing that the individual(s) proposed as substitution(s) have qualifications and experience equal to or better than the individual(s) originally proposed or currently assigned.

The contractor shall forward a request to substitute staff to the State's Contract Manager for consideration and approval. No substitute personnel are

authorized to begin work until the contractor has received written approval to proceed from the State Contract Manager.

#### **5.10 SUBSTITUTION OR ADDITION OF SUBCONTRACTOR(S)**

This Subsection serves to supplement but not to supersede Section 3.11 of the Standard Terms and Conditions of this RFP.

If it becomes necessary for the contractor to substitute and/or add a subcontractor, the contractor will identify the proposed new subcontractor and the work to be performed. The contractor must provide detailed justification documenting the necessity for the substitution or addition.

The contractor must provide detailed resumes of the proposed subcontractor's management, supervisory and other key personnel that demonstrate knowledge, ability and experience relevant to that part of the work that the subcontractor is to undertake.

In the event a subcontractor is proposed as a substitution, the proposed subcontractor must equal or exceed the qualifications and experience of the subcontractor being replaced. In the event the subcontractor is proposed as an addition, the proposed subcontractor's qualifications and experience must equal or exceed that of similar personnel proposed by the contractor in its bid proposal.

The contractor shall forward a written request to substitute or add a subcontractor to the State Contract Manager for consideration. If the State Contract Manager approves the request, the State Contract Manager will forward the request to the Director for final approval.

No substituted or additional subcontractors are authorized to begin work until the contractor has received written approval from the Director.

#### **5.11 OWNERSHIP OF MATERIAL**

All data, technical information, materials gathered, originated, developed, prepared, used or obtained in the performance of the contract, including, but not limited to, all reports, surveys, plans, charts, literature, brochures, mailings, recordings (video and/or audio), pictures, drawings, analyses, graphic representations, software computer programs and accompanying documentation and print-outs, notes and memoranda, written procedures and documents, regardless of the state of completion, which are prepared for or are a result of the services required under this contract shall be and remain the property of the State of New Jersey and shall be delivered to the State of New Jersey upon 30 days notice by the State. With respect to software computer programs and/or source codes developed for the State, the work shall be considered "work for hire", i.e., the State, not the contractor or subcontractor, shall have full and complete ownership of all software computer programs and/or source codes developed. The State shall have ownership of and/or a license to all package software purchased by the Contractor and incorporated or used in the Project.

#### **5.12 DATA CONFIDENTIALITY**

All financial, statistical, personnel and/or technical data supplied by the State to the contractor are confidential. The contractor is required to use

reasonable care to protect the confidentiality of such data. Any use, sale or offering of this data in any form by the contractor, or any individual or entity in the contractor's charge or employ, will be considered a violation of this contract and may result in contract termination and the contractor's suspension or debarment from State contracting. In addition, such conduct may be reported to the State Attorney General for possible criminal prosecution.

#### **5.13 NEWS RELEASES**

The contractor is not permitted to issue news releases pertaining to any aspect of the services being provided under this contract without the prior written consent of the Director.

#### **5.14 ADVERTISING**

The contractor shall not use the State's name, logos, images, or any data or results arising from this contract as a part of any commercial advertising without first obtaining the prior written consent of the Director.

#### **5.15 LICENSES AND PERMITS**

The contractor shall obtain and maintain in full force and effect all required certificates, permits, and authorizations necessary to perform this contract. The contractor shall supply the State's Contract Manager with evidence of all such certificates, permits and authorizations. This evidence shall be submitted subsequent to the contract award. All costs associated with any such certificates, permits and authorizations must be considered by the bidder in its bid proposal.

#### **5.16 CLAIMS AND REMEDIES**

##### **5.16.1 CLAIMS**

The following shall govern claims made by the contractor regarding contract award rescission, contract interpretation, contractor performance and/or suspension or termination.

Final decisions concerning all disputes relating to contract award rescission, contract interpretation, contractor performance and/or contract reduction, suspension or termination are to be made in a manner consistent with N.J.A.C. 17:12-1.1, et seq. The Director's final decision shall be deemed a final agency action reviewable by the Superior Court of New Jersey, Appellate Division.

All claims asserted against the State by the contractor shall be subject to the New Jersey Tort Claims Act, N.J.S.A. 59:1-1, et seq., and/or the New Jersey Contractual Liability Act, N.J.S.A. 59:13-1, et seq. However, any claim against the State relating to a final decision by the Director regarding contract award rescission, contract interpretation, contractor performance and/or contract reduction, suspension or termination shall not accrue, and the time period for performing any act required by N.J.S.A. 59:8-8 or 59:13-5 shall not commence, until a decision is rendered by the Superior

Court of New Jersey, Appellate Division (or by the Supreme Court of New Jersey, if appealed) that such final decision by the Director was improper.

#### **5.16.2 REMEDIES**

Nothing in the contract shall be construed to be a waiver by the State of any warranty, expressed or implied, or any remedy at law or equity, except as specifically and expressly stated in a writing executed by the Director.

#### **5.17 LATE DELIVERY AND LIQUIDATED DAMAGES**

The contractor must immediately advise the State Contract Manager of any circumstance or event that could result in late completion of any task or subtask called for to be completed on a date certain. Notification must also be provided to the Director at the address below:

The State of New Jersey  
Director, Division of Purchase and Property  
Purchase Bureau  
PO Box 230  
33 West State St.  
Trenton, New Jersey 08625-0230

#### **5.18 RETAINAGE**

The amount of retainage is noted on the RFP cover sheet. The retainage amount will be based upon the fixed price for the deliverables itemized on the Price Sheets, Sections 8.1.2 and 8.1.3. The Using Agency shall retain ten percent of the fixed price for each of the deliverables. The retainage for Phase 1 will be released to the contractor as follows: half of the Phase 1 retainage shall be released to the contractor three months after successful rollout of the Phase 1 deliverables, the remaining Phase 1 retainage to be released to the contractor at the end of the Phase 1 warranty period (one year after rollout of Phase 1). The retainage for Phase 2 shall be released to the contractor as follows: half of the Phase 2 retainage will be released to the contractor three months after successful rollout of the Phase 2 deliverables, the remaining Phase 2 retainage to be released to the contractor at the end of the Phase 2 warranty period (one year after rollout of Phase 2). Retainage will be released to the contractor only after the State Project Manager certifies that the system is performing satisfactorily and according to specifications at the specified times. No retainage on Annual Software Maintenance is required.

#### **5.19 STATE'S OPTION TO REDUCE SCOPE OF WORK**

The State has the option, in its sole discretion, to reduce the scope of work for any task or subtask called for under this contract. In such an event, the Director shall provide advance written notice to the contractor.

Upon receipt of such written notice, the contractor will submit, within five (5) working days to the Director and the State Project Manager, an

itemization of the work effort already completed by task or subtask. The contractor shall be compensated for such work effort according to the applicable portions of its cost proposal.

#### **5.20 SUSPENSION OF WORK**

The State Contract Manager may, for valid reason, issue a stop order directing the contractor to suspend work under the contract for a specific time. The contractor shall be paid until the effective date of the stop order. The contractor shall resume work upon the date specified in the stop order, or upon such other date as the State Contract Manager may thereafter direct in writing. The period of suspension shall be deemed added to the contractor's approved schedule of performance. The Director and the contractor shall negotiate an equitable adjustment, if any, to the contract price.

#### **5.21 CHANGE IN LAW**

Whenever an unforeseen change in applicable law or regulation affects the services that are the subject of this contract, the contractor shall advise the State Contract Manager and the Director in writing and include in such written transmittal any estimated increase or decrease in the cost of its performance of the services as a result of such change in law or regulation. The Director and the contractor shall negotiate an equitable adjustment, if any, to the contract price.

#### **5.22 ADDITIONAL WORK, ONGOING SUPPORT OR SPECIAL PROJECTS**

The contractor shall not begin performing any additional work, ongoing support or special projects without first obtaining written approval from both the State Contract Manager and the Director.

In the event of additional work, ongoing support and/or special projects, the contractor must present a written proposal to perform the additional work to the State Contract Manager. The proposal should provide justification for the necessity of the additional work. The relationship between the additional work and the base contract work must be clearly established by the contractor in its proposal.

The contractor's written proposal must provide a detailed description of the work to be performed broken down by task and subtask. The proposal should also contain details on the level of effort, including hours, labor categories, etc., necessary to complete the additional work.

The written proposal must detail the cost necessary to complete the additional work in a manner consistent with the contract. The written cost proposal must be based upon the hourly rates, unit costs or other cost elements submitted by the contractor in the contractor's original bid proposal submitted in response to this RFP. Whenever possible, the cost proposal should be a firm, fixed cost to perform the required work. The firm fixed price should specifically reference and be tied directly to costs submitted by the contractor in its original bid proposal. A payment schedule, tied to successful completion of tasks and subtasks, must be included.

Upon receipt and approval of the contractor's written proposal, the State Contract Manager shall forward it to the Director for the Director's written approval. Complete documentation from the Using Agency, confirming the need for the additional work, must be submitted. Documentation forwarded by the State Contract Manager to the Director must all include all other required State approvals, such as those that may be required from the State of New Jersey's Office of Management and Budget (OMB) and Office of Information Technology (OIT).

No additional work, ongoing support and/or special project may commence without the Director's written approval. In the event the contractor proceeds with additional work, ongoing support and/or special projects without the Director's written approval, it shall be at the contractor's sole risk. The State shall be under no obligation to pay for work done without the Director's written approval.

### **5.23 FORM OF COMPENSATION AND PAYMENT**

This Section supplements Section 4.5 of the RFP'S Standard Terms and Conditions. The contractor must submit official State invoice forms to the Using Agency with supporting documentation evidencing that work for which payment is sought has been satisfactorily completed. Invoices must reference the deliverables itemized in Section 4.4.2 of the RFP and must be in strict accordance with the firm, fixed prices submitted for each deliverable on the RFP pricing sheets. When applicable, invoices should reference the appropriate RFP price sheet line number from the contractor's bid proposal. All invoices must be approved by the State Contract Manager before payment will be authorized.

Payments for maintenance will be made to the contractor on a monthly basis, the annual maintenance fee will be distributed over twelve payments. The Contractor shall submit monthly invoices to the State. Upon acceptance and approval by the State of the work performed by the Contractor, the invoices shall be paid pursuant to the provisions of the Prompt Payment Act, N.J.S.A. 53:32-32 et seq.

Invoices must also be submitted for any special projects, additional work or other items properly authorized and satisfactorily completed under the contract. Invoices shall be submitted according to the payment schedule agreed upon when the work was authorized and approved. Payment can only be made for work when it has received all required written approvals and has been satisfactorily completed.

#### Payment to Contractor - Optional Method

The State of New Jersey now offers State contractors the opportunity to be paid through the VISA procurement card (p-card). A contractor's acceptance and a State agency's use of the p-card, however, is optional.

P-card transactions do not require the submission of either a contractor invoice or a State payment voucher. Purchasing transactions using the p-card will usually result in payment to a contractor in three days.

A contractor should take note that there will be a transaction-processing fee for each p-card transaction. To participate, a contractor must be capable of accepting the VISA card. Additional information can be obtained from banks or merchant service companies.

#### **5.24 MATERIAL SAFETY DATA SHEETS**

This section is not applicable to this RFP.

#### **5.25 CONTRACTOR'S PERSONNEL**

##### **5.25.1**

The Contractor will be solely responsible for all-direct management, supervision, and control of the work performed by the Contractor's personnel. The Contractor shall be responsible for determining the proper work methods and procedures to be used and for ensuring that they are properly and safely undertaken and completed in a satisfactory manner.

##### **5.25.2**

All parties must clearly understand that all contractor's personnel provided by the contractor or any of his subcontractors shall be considered employees of the contractor or subcontractor. Under no circumstances shall these people be considered employees of the State or as independent contractors. Therefore, the contractor and any of his subcontractors must provide all functions related to these personnel with respect to their classification as employees. These functions will include such services as salary, benefits and proper payroll deductions such as federal and state income taxes, disability and unemployment insurance etc.

In addition, personnel shall bear identification cards at all times with their name as well as the firm name listed on the card.

##### **5.25.3**

All contractor personnel must observe all State regulations in effect at the location where the work is being performed. While on State property, the contractors personnel shall be subject to oversight by the State's Project Manager. Under no circumstances shall the contractors or any subcontractor's personnel be deemed employees of the State. Contractor or subcontractor personnel shall not represent themselves to be employees of the State.

Contractor's personnel will at all times make their best efforts to be responsive, polite, and cooperative when interacting with representatives of the State or any other State Employees.

The contractor's personnel shall be required to work in a harmonious manner with State employees as well as outside contractors, if applicable.

Nothing contained in this RFP shall be construed as granting the contractor the sole right to supply personal or contractual services required by the State.

The contractor agrees that, upon request by the State's Project Manager, the contractor shall remove from the work crew any of his personnel who are, in the opinion of the State, guilty of improper conduct or who are not qualified or needed to perform the work assigned to them. Examples of improper conduct include, but are not limited to insobriety, sleeping on the job, insubordination, tardiness, or substandard performance. The State's Project Manager or his representative is empowered to request that the contractor replace offending personnel immediately.

The State's Project Manager may require replacement and removal from the work crew any employee who is identified as a potential threat to the health, safety, security, general well being, or operational mission of the facility and its population.

The contractor will perform all work offsite, with regular meetings to be held at Office of Licensure and Credentials' offices in Trenton. Classroom training will be held in Trenton and one training session will be provided to each of the twenty-one counties. The Contractor must supply their own workstations, development software, software development language and development tools. The State will supply the Oracle licenses and the FileNET licenses for imaging and document management software.

#### **5.25.4**

In addition, in connection with the performance of work under this contract, the contractor agrees not to employ any person-undergoing sentence of imprisonment, except as provided under Public Law 89-176, September 10, 1965 (18 U.S.C. 4082)(c)(2) and Executive Order 11755, December 29, 1973.

All employees supplied by the contractor may be required to have a criminal check and/or be investigated during the term of this contract.

## **6.0 PROPOSAL EVALUATION/CONTRACT AWARD**

### **6.1 PROPOSAL EVALUATION COMMITTEE**

Proposals may be evaluated by an Evaluation Committee composed of members of affected departments and agencies together with representative(s) from the Purchase Bureau. Representatives from other governmental agencies may also serve on the Evaluation Committee. On occasion, the Evaluation Committee may choose to make use of the expertise of outside consultants in an advisory role.

### **6.2 ORAL PRESENTATION AND/OR CLARIFICATION OF PROPOSAL**

A bidder may be required to give an oral presentation to the Evaluation Committee concerning its bid proposal. The Evaluation Committee may also require a bidder to submit written responses to questions regarding its proposal.

The purpose of such communication with a bidder, through either an oral presentation or a letter of clarification, is to provide an opportunity for the bidder to clarify or elaborate on its bid proposal. Original bid proposals submitted, however, cannot be supplemented, changed, or corrected in any way. No comments regarding other bid proposals are permitted. Bidders may not attend presentations made by their competitors.

It is within the Evaluation Committee's discretion whether to require a bidder to give an oral presentation, provide software product demos/presentations or require a bidder to submit written responses to questions regarding its proposal. Action by the Evaluation Committee in this regard should not be construed to imply acceptance or rejection of a proposal. The Purchase Bureau buyer will be the sole point of contact regarding any request for an oral presentation or clarification.

### **6.3 EVALUATION CRITERIA**

The following evaluation criteria categories, not necessarily listed in order of significance, will be used to evaluate bid proposals received in response to this RFP, in addition to the standard criteria described in this section. The evaluation criteria categories may be used to develop more detailed evaluation criteria to be used in the evaluation process:

- Contractor approach
- Ease of use for end users and for developers to customize for specific requirements.
- Ease of integration of Oracle, data entry forms, Word, e-mail and document management software.
- Contractor experience with similar projects.
- Closeness of fit with State's technology standards.
- Contractor qualifications and references.
- Project team qualifications and references.

#### **6.3.1**

The bidder's general approach and plans in meeting the requirements of this RFP.

#### **6.3.2**

The bidder's detailed approach and plans to perform the services required by the Scope of Work Section of this RFP.

#### **6.3.3**

The bidder's documented experience in successfully completing contracts of a similar size and scope to those required by this RFP.

#### **6.3.4**

The qualifications and experience of the bidder's management, supervisory or other key personnel assigned to the contract, with emphasis on documented experience in successfully completing work on contracts of similar size and scope to those required by this RFP.

#### **6.3.5**

The overall ability of the bidder to mobilize, undertake and successfully complete the contract. This judgment will include, but not be limited to the following factors: the number and qualifications of management, supervisory and other staff proposed by the bidder to complete the contract, the availability and commitment to the contract of the bidder's management, supervisory and other staff proposed and the bidder's contract management plan, including the bidder's contract organizational chart.

#### **6.3.6**

The bidder's Cost Proposal.

### **6.4 CONTRACT AWARD**

The contract shall be awarded with reasonable promptness by written notice to that responsible bidder whose bid, conforming to the invitation for bids, will be most advantageous to the State, price and other factors considered. Any or all bids may be rejected when the State Treasurer or the Director of the Division of Purchase and Property determines that it is in the public interest to do so.

7.0 BIDDER DATA SHEETS, BIDDER(S)' CAPABILITIES, ORGANIZATIONAL  
SUPPORT AND EXPERIENCE/TECHNICAL PROPOSAL

DOES NOT APPLY TO THIS PROCUREMENT.

## 8.0 PRICE SHEETS AND SUPPORTING DETAIL

### 8.1 PRICE SHEET (FIXED PRICE)

#### 8.1.1 SOFTWARE PACKAGES

Software Category	Name Of Software & Vendor	Purchase Price	Annual Maintenance Contract Year 2	Annual Maintenance Contract Year 3	Annual Maintenance Contract Year 4
Document Management	FileNET	Provided By State	Not Applicable	Not Applicable	Not Applicable
Other Software					
Other Software					
Other Software					
<b>Total Package Software</b>		\$	\$	\$	\$

Note that the State requests a three-year contract for software maintenance. Please note any year to year price escalations in annual maintenance. Assume that there are 40 users in pricing the software. Please provide pricing alternatives, if any. FileNET software shall be provided by the State. Also note that software package maintenance for Year 1 must be included in the Purchase Price. The State reserves the right to purchase the package software necessary for this Project. The State requests that the Contractor state the cost of all package software, which the Contractor intends to incorporate or use in this Project. If the State should purchase package software from a source other than the Contractor, then, as noted in Section 3.22 of RFP, the package software vendor is responsible for support and maintenance during the warranty and maintenance periods.

### 8.1.2 CUSTOMIZATIONS/PROGRAMMING BY MODULE / DELIVERABLE

Note these modules are itemized as per groupings of processes as specified in Appendix B. The cost must include all customizations, programming and setups to deliver complete functionality- i.e. links between Oracle database, Word, and e-mail notifications. All work deliverables must be itemized on these price sheets and must be consistent with the bidder's project plan. Specific tasks/modules are described in detail in Section 3.0.

<b>Phase 1 Specific Required Modules</b>	<b>Fixed Price</b>
Design of Phase 1 Functions	
Application Process Over Web	
Application Status Check Over Web	
Process Web Payments	
Intake/Process Money Orders and Other Documents	
Examiner Function (automatic and manual)	
Update Status of Provisionals	
Process TLAP File	
Produce Correspondence / Certificates	
Interfaces	
College Approved Programs	
Reports (Standard reports described in Section 3.5.21 and Appendix G)	
<b>Total Cost for Design/Customization/Programming For Phase 1</b>	\$

Payments shall be based upon deliverables provided on the price sheets. The bidder must itemize the deliverables based upon the project plan. Maintenance is included on separate price sheets.

<b>Phase 2 Specific Required Modules</b>	<b>Fixed Price</b>
Design of Phase 2 Functions	
Regional Training Centers	
Board of Examiners	
Legal	
TLAP on web	
Reports (5 additional)	
<b>Total Cost for Design/Customization/Programming For Phase 2</b>	<b>\$</b>

<b>Cost Category (Fixed Price For Maintenance)</b>	<b>Year 1Warranty</b>	<b>Year 2 Maintenance</b>	<b>Year 3 Maintenance</b>
<b>Annual software maintenance for customized system for Phase 1</b>	\$0	\$	\$
<b>Annual software maintenance for customized system for Phase 2</b>	\$0	\$	\$

Note that the annual maintenance for the customized system shall include all customized code software maintenance associated with the installation of new releases of package software. The contractor shall ensure the system continues to be fully functional with the installation of any new releases of software. Package software maintenance costs were itemized on the prior page. These costs are associated with custom code maintenance and the assurance of a fully functional integrated system. Note that the State is requesting a three-year contract for software maintenance (one year warranty and two years of maintenance). The maintenance contract must take effect after the warranty period is completed (warranty covers first year after rollout). Note that the warranty is free for the first year after rollout. The warranty includes fixing all bugs in the software for the first year after rollout of Phase 1 and Phase 2. Payments for maintenance will be made to the contractor on a monthly basis, twelve equal payments based on the annual cost itemized in the table above.

### 8.1.3 OTHER TASKS

These tasks are described in detail in Section 3.0, or are general project tasks. Separate Other Tasks by phases.

<b>Phase 1 Cost Category</b>	<b>Fixed Price</b>
Documentation (User and Technical)	
Training	
Rollout	
Conversion- i.e. database, backscanning	
Application Administrator Function	
Template development	
Develop Reusable Components	
<b>Total Cost for Other Phase 1 Tasks</b>	\$

<b>Phase 2 Cost Category</b>	<b>Fixed Price</b>
Documentation (User and Technical)	
Training	
Rollout	
Application Administrator Function	
Template development	
Develop Reusable Components	
<b>Total Cost for Phase 2 Other Tasks</b>	\$

#### 8.1.4 TOTAL FIXED PRICE

Provide the total fixed price for the package software, customizations and other tasks (total cost from section 8.1.1 + total cost from section 8.1.2 + total cost from section 8.1.3). Note that the warranty period is included in the fixed price.

Cost Category	Total Cost
Software Packages (Subsection 8.1.1)	
Design/Customization/Programming Phase 1 (Subsection 8.1.2)	
Design/Customization/Programming Phase 2 (Subsection 8.1.2)	
Other Tasks Phase 1 (Subsection 8.1.3)	
Other Tasks Phase 2 (Subsection 8.1.3)	
Maintenance Year 1 (Phase 1)	
Maintenance Year 2 (Phase 1)	
Maintenance Year 1 (Phase 2)	
Maintenance Year 2 (Phase 2)	
<b>Total Fixed Price</b>	\$

**8.1.5 FOLLOW ON SUPPORT / ADDITIONAL WORK / SPECIAL PROJECTS - RATES  
BY LABOR CATEGORY**

These rates must be utilized for any approved follow-on work (outside of warranty or maintenance). The rates must remain in effect for three years following installation and rollout. Complete all entries and indicate any year to year price escalations. Note that all year 1 work is included in the fixed price.

<b>Labor Category</b>	<b>Hourly Rate (fully loaded) Year 1</b>	<b>Hourly Rate (fully loaded) Year 2</b>	<b>Hourly Rate (fully loaded) Year 3</b>	<b>Hourly Rate (fully loaded) Year 4</b>
Project Manager				
Senior Analyst				
Analyst				
Senior Programmer				
Programmer				
Technical Writer				
Trainer				
Implementation Specialist				
Database Specialist				

The hourly rates are all-inclusive fully loaded hourly rates. These rates include travel expenses and any other costs.